

State of Alabama

UNITED STATES DEPARTMENT OF ENERGY
PROGRAM YEAR 2022
WEATHERIZATION ASSISTANCE PROGRAM
STATE PLAN

(April 1, 2022 – March 31, 2023)



Submitted by:

State of Alabama
Kay Ivey, Governor

Department of Economic and Community Affairs
Kenneth W. Boswell, Director

Revision Approved by the Department of Energy: August 5, 2022

APPLICATION FOR FEDERAL ASSISTANCE SF-424		Version 02
1. Type of Submission: <input type="checkbox"/> Preapplication <input checked="" type="checkbox"/> Application <input type="checkbox"/> Changed/Corrected Application	2. Type of Application: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input checked="" type="checkbox"/> Revision	
If Revision, select appropriate letter(s) Increase Award Other (specify):		
3. Date Received 12/03/2020	4. Applicant Identifier:	
5a. Fed Entity Identifier:	5b. Federal Award Identifier: DE-EE0009885 (SF424 revision 1)	
State Use Only:		
6. Date Received by State: 12/03/2020	7. State Application Identifier:	
8. APPLICANT INFORMATION:		
a. Legal Name: State of Alabama		
b. Employer/Taxpayer Identification Number (EIN/TIN): 636000619	c. UEI: PQ3LJB9LMX63	
d. Address:		
Street 1: 401 Adams Avenue - Suite 560 Street 2: P.O. Box 5690 City: Montgomery County: MONTGOMERY County State: AL Province: Country: U.S.A. Zip / Postal Code: 361035690		
e. Organizational Unit:		
Department Name: ADECA	Division Name: Energy - ADECA	
f. Name and contact information of person to be contacted on matters involving this application:		
Prefix: Ms First Name: Jennifer Middle Name: Last Name: Lee Suffix:		
Title: Acting Division Chief		
Organizational Affiliation: ADECA		
Telephone Number: 3343533005 Fax Number: 3342420552		
Email: jennifer.lee@adeca.alabama.gov		

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

9. Type of Applicant:

A State Government

10. Name of Federal Agency:

U. S. Department of Energy

11. Catalog of Federal Domestic Assistance Number:

81.042

CFDA Title:

Weatherization Assistance Program

12. Funding Opportunity Number:

DE-WAP-0002022

Title:

2022 Weatherization Assistance Program

13. Competition Identification Number:

Title:

14. Areas Affected by Project (Cities, Counties, States, etc.):

Alabama - Statewide

15. Descriptive Title of Applicant's Project:

Weatherization Assistance Program For Low-Income Persons

APPLICATION FOR FEDERAL ASSISTANCE SF-424

Version 02

16. Congressional District Of:

a. Applicant: Alabama Congressional District 02

b. Program/Project: AL-Statewide

Attach an additional list of Program/Project Congressional Districts if needed:

17. Proposed Project:

a. Start Date: 04/01/2022

b. End Date: 03/31/2023

18. Estimated Funding (\$):

a. Federal	179,855.00
b. Applicant	0.00
c. State	0.00
d. Local	0.00
e. Other	0.00
f. Program Income	0.00
g. TOTAL	179,855.00

19. Is Application subject to Review By State Under Executive Order 12372 Process?:

- ☐ a. This application was made available to the State under the Executive Order 12372 Process for review
- ☒ b. Program is subject to E.O. 12372 but has not been selected by the State for review.
- ☐ c. Program is not covered by E.O. 12372

20. Is the applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation)

No

21. By signing this application, I certify (1) to the statements contained in the list of certifications and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to**

☒ I AGREE

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency

Authorized Representative:

Prefix: Mr First Name: Kenneth
Middle Name: W.
Last Name: Boswell
Suffix:

Title: Director

Telephone Number: 3342425591

Fax Number:

Email: Kenneth.Boswell@adeca.alabama.gov

Signature of Authorized Representative: Signed Electronically

Date Signed: 05/20/2022

Authorized for Local Reproduction

Standard Form 424 (Revised 10/2005)
Prescribed by OMB Circular A-102

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009885		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Alabama 401 Adams Avenue - Suite 560 Montgomery, AL 361035690		4. Program/Project Start Date 04/01/2022	5. Completion Date 03/31/2023

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. 2022 WAP Formula Funds	81.042	\$ 0.00		\$ 3,335,801.00		\$ 3,335,801.00
2. STATE			\$ 0.00		\$ 0.00	\$ 0.00
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 3,335,801.00	\$ 0.00	\$ 3,335,801.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) GRANTEE ADMINISTRA TION	(2) SUBGRANTE E ADMINISTRA	(3) GRANTEE T&TA	(4) SUBGRANTE E T&TA	
a. Personnel	\$ 38,464.00	\$ 0.00	\$ 78,442.00	\$ 0.00	\$ 116,906.00
b. Fringe Benefits	\$ 14,223.00	\$ 0.00	\$ 31,998.00	\$ 0.00	\$ 46,221.00
c. Travel	\$ 0.00	\$ 0.00	\$ 29,525.00	\$ 0.00	\$ 29,525.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 2,500.00	\$ 0.00	\$ 2,500.00
f. Contract	\$ 0.00	\$ 314,953.00	\$ 66,344.00	\$ 144,000.00	\$ 3,000,648.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 35,000.00
i. Total Direct Charges	\$ 52,687.00	\$ 314,953.00	\$ 208,809.00	\$ 144,000.00	\$ 3,230,800.00
j. Indirect Costs	\$ 105,001.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 105,001.00
k. Totals	\$ 157,688.00	\$ 314,953.00	\$ 208,809.00	\$ 144,000.00	\$ 3,335,801.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009885		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Alabama 401 Adams Avenue - Suite 560 Montgomery, AL 361035690		4. Program/Project Start Date 04/01/2022	5. Completion Date 03/31/2023

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 3,335,801.00	\$ 0.00	\$ 3,335,801.00

SECTION B - BUDGET CATEGORIES					
6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) PROGRAM OPERATIONS	(2) HEALTH AND SAFETY	(3) LIABILITY INSURANCE	(4) FINANCIAL AUDITS	
a. Personnel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 116,906.00
b. Fringe Benefits	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 46,221.00
c. Travel	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 29,525.00
d. Equipment	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
e. Supplies	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 2,500.00
f. Contract	\$ 1,842,960.00	\$ 380,000.00	\$ 34,600.00	\$ 32,800.00	\$ 3,000,648.00
g. Construction	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00
h. Other Direct Costs	\$ 0.00	\$ 0.00	\$ 35,000.00	\$ 0.00	\$ 35,000.00
i. Total Direct Charges	\$ 1,842,960.00	\$ 380,000.00	\$ 69,600.00	\$ 32,800.00	\$ 3,230,800.00
j. Indirect Costs	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 105,001.00
k. Totals	\$ 1,842,960.00	\$ 380,000.00	\$ 69,600.00	\$ 32,800.00	\$ 3,335,801.00
7. Program Income	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

BUDGET INFORMATION - Non-Construction Programs

1. Program/Project Identification No. EE0009885		2. Program/Project Title Weatherization Assistance Program	
3. Name and Address State of Alabama 401 Adams Avenue - Suite 560 Montgomery, AL 361035690		4. Program/Project Start Date 04/01/2022	5. Completion Date 03/31/2023

SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.						
2.						
3.						
4.						
5. TOTAL		\$ 0.00	\$ 0.00	\$ 3,335,801.00	\$ 0.00	\$ 3,335,801.00

SECTION B - BUDGET CATEGORIES

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1) Weatherization Readiness	(2)	(3)	(4)	
a. Personnel	\$ 0.00				\$ 116,906.00
b. Fringe Benefits	\$ 0.00				\$ 46,221.00
c. Travel	\$ 0.00				\$ 29,525.00
d. Equipment	\$ 0.00				\$ 0.00
e. Supplies	\$ 0.00				\$ 2,500.00
f. Contract	\$ 184,991.00				\$ 3,000,648.00
g. Construction	\$ 0.00				\$ 0.00
h. Other Direct Costs	\$ 0.00				\$ 35,000.00
i. Total Direct Charges	\$ 184,991.00				\$ 3,230,800.00
j. Indirect Costs	\$ 0.00				\$ 105,001.00
k. Totals	\$ 184,991.00				\$ 3,335,801.00
7. Program Income	\$ 0.00				\$ 0.00

U.S. DEPARTMENT OF ENERGY



BUDGET JUSTIFICATION FOR FORMULA GRANTS

Applicant: State of Alabama
Award number: EE0009885

Budget period: 04/01/2022 - 03/31/2023

1. **PERSONNEL** - Prime Applicant only (all other participant costs are listed in 6 below and form SF-242A, Section B. Line 6.f. Contracts and Sub-Grants).

Positions to be supported under the proposed award and brief description of the duties of professionals:

Position	Description of Duties of Professionals
Planning & Economic Development Specialist I	Serves as Program Monitor. Responsible for monitoring all Alabama subgrantees at least once each year, compiles field review reports and monthly subgrantee production reports, provides on-site T&TA where applicable, and serves as program counselor to subgrantee staff. The balance of salary and benefits is paid by other, non-weatherization programs like LIHEAP and CSBG.
Planning & Economic Development Specialist III	Serves as Program Manager. Responsible for preparing correspondence, reports, and program information to subgrantees, develops and organizes workshops and trainings for subgrantees, develops state plans and public hearings develops subgrantee budgets, resolves corrective issues from subgrantees and performs other duties as required in managing the program. The balance of salary and benefits is paid by other, non-weatherization programs like LIHEAP and CSBG.
Planning & Economic Development Specialist IV	Community Services Unit Chief. Supervises LIHEAP, CSBG, and Weatherization Programs. The balance of salary and benefits is paid by other, non-weatherization programs like LIHEAP and CSBG.

Direct Personnel Compensation:

Position	Salary/Rate	Time	Direct Pay
Planning & Economic Development Specialist I	\$47,596.80	75.0000 % FT	\$35,697.60
Planning & Economic Development Specialist III	\$77,892.00	75.0000 % FT	\$58,419.00
Planning & Economic Development Specialist IV	\$75,964.80	30.0000 % FT	\$22,789.44
		Direct Pay Total	\$116,906.04

2. **FRINGE BENEFITS**

a. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit below, and attach a copy of the rate agreement to the application.

b. If a. above does not apply, please use this box (or an attachment) to further explain how your total fringe benefits costs were calculated. Your calculations should identify all rates used, along with the base they were applied to (and how the base was derived), and a total for each (along with grand total). If there is an established computation methodology approved for state-wide use, please provide a copy. Also, please fill out the table below with the Fringe Benefits Calculations.

FICA: April 2021-March 2022-7.65%

Retirement: Current Employees 14.82%, New Hires (after 1/1/13) 14.44%

Health Insurance: 930.00/Month = 11,160.00/year

11,160(30%)=\$3,348.00/\$22,789.44 = 14.6910%

11,160(75%)=\$8,370.00/\$35,697.6 = 23.4470%

11,160(75%)=\$8,370.00/\$58,419.00 = 14.3275%

Average Fringe Rate is 39.83%

Fringe Benefits Calculations

Position	Direct Pay	Rate	Benefits
Planning & Economic Development Specialist I	\$35,697.60	45.5370 %	\$16,255.62
Planning & Economic Development Specialist III	\$58,419.00	36.7975 %	\$21,496.73
Planning & Economic Development Specialist IV	\$22,789.44	37.1610 %	\$8,468.78
		Fringe Benefits Total	\$46,221.13

3. TRAVEL

- a. Please provide the purpose of travel, such as professional conference(s), DOE sponsored meeting(s), project management meeting, etc. If there is any foreign travel, please identify.

Purpose of Trip	Number of Trips	Cost Per Trip	Total
Monitoring and T&TA visits to subgrantees (Nearby day trips, no per-diem)	3	\$0.00	\$0.00
Monitoring and T&TA visits to subgrantees (Overnight Trips last 3 days)	20	\$400.00	\$8,000.00
Out of State Travel (Conference, Training, etc.)	6	\$3,200.00	\$19,200.00
Monitoring and T&TA visits to subgrantees (Distant day trips)	11	\$45.00	\$495.00
Fuel Charges	30	\$61.00	\$1,830.00
		Travel Total	\$29,525.00

- b. Please provide the basis for estimating the costs, such as past trips, current quotations, Federal Travel Regulations, etc. All listed travel must be necessary for the performance of the award objectives.

All travel costs are based on historical costs and comply with all State of Alabama travel and reimbursement policies.

Out of State Conferences may include but are not limited to NASCSP, Energy Out West, and Home Performance Coalition Conferences

Monitoring and T&TA visits to subgrantees (Nearby day trips, no per-diem) Alabama does not allow per-diem for travel of less than 25 miles

4. EQUIPMENT - Equipment is generally defined as an item with an acquisition cost greater than \$5,000 and a useful life expectancy of more than one year.

- a. List all proposed equipment below and briefly justify its need as it applies to the objectives of the award.

Equipment	Unit Cost	Number	Total Cost	Justification of Need
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- b. Please provide a basis of cost such as vendor quotes, catalog prices, prior invoices, etc. and justify need. If the Equipment is being proposed as Cost Share and was previously acquired, please provide the source and value of its contribution to the project and logical support for the estimated value shown. If it is new equipment which will retain a useful life upon completion of the project, provide logical support for the estimated value shown. Also, please indicate whether the Equipment is being used for other projects or is 100% dedicated to the DOE project.

5. SUPPLIES - Supplies are generally defined as an item with an acquisition cost of \$5,000 or less and a useful life expectancy of less than one year. Supplies are generally consumed during the project performance.

- a. List all proposed supplies below, the estimated cost, and briefly justify the need for the supplies as they apply to the objectives of the award. Note that all direct costs, including Supply items, may not be duplicative of supply costs included in the indirect pool that is the basis of the indirect rate applied for this project.

General Category	Cost	Justification of Need
Various tools and supplies	\$500.00	Various small tools and supplies to conduct monitoring activities
Calibration of Testing Equipment	\$1,000.00	Calibration of testing equipment to ensure accurate readings
Materials for Training Events	\$1,000.00	Materials such as binders, folders, markers, boards, etc. for training purposes
Materials and Supplies Total	\$2,500.00	

- b. Please provide a basis of cost for each item listed above and justify need. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

Cost estimated on prior billing and researched prices.

6. CONTRACTS AND SUBGRANTS - Provide the following information for New proposed subrecipients and subcontractors. For ongoing subcontractors and subrecipients, this information does not have to be restated here, if it is provided elsewhere in the application; under Name of Proposed Sub, indicate purpose of work and where additional information can be found (i.e weatherization subgrants, Annual File section IV.1).

Name of Proposed Sub	Total Cost	Basis of Cost*
Community Action Agency of Northwest Alabama, Inc.	\$114,506.00	Weatherization
Community Action Agency of Talladega, Clay, Randolph, Calhoun, and Cleburne Counties	\$157,935.00	Weatherization
Community Service Programs of West Alabama, Inc.	\$205,521.00	Weatherization
Montgomery County Commission C/O CARPDC	\$180,886.00	Weatherization
Organized Community Action Program, Inc.	\$274,188.00	Weatherization
Community Action Partnership of North Alabama, Inc.	\$212,664.00	Weatherization
Central Alabama Regional Planning and Development Commission	\$260,520.00	Weatherization
Community Action Agency of South Alabama, Inc.	\$186,245.00	Weatherization
Community Action Agency of Northeast Alabama, Inc.	\$640,325.00	Weatherization
Alabama Council on Human Relations, Inc.	\$123,631.00	Weatherization
Mobile Community Action, Inc.	\$308,166.00	Weatherization
State Weatherization Training	\$66,344.00	State Weatherization Training \$39,344.00 Training selection/development will be procured through RFP Process during the second quarter of program year. FACSPRO Client Database \$27,000.00; Database Management used by CSBG, LIHEAP and WX; it is a maintenance agreement renewing each year. DBA Technologies LLC
Community Action Committee of Chambers-Tallapoosa-Coosa	\$63,833.00	Weatherization
Community Action Partnership of Huntsville/Madison and Limestone Counties, Inc.	\$205,884.00	Weatherization
Contracts and Subgrants Total	\$3,000,648.00	

*For example, Competitive, Historical, Quote, Catalog

7. OTHER DIRECT COSTS - Other direct costs are direct cost items required for the project which do not fit clearly into other categories. These direct costs may not be duplicative of costs included in the indirect pool that is the basis of the indirect rate applied for this project. Examples are: conference fees, subscription costs, printing costs, etc.

a. Please provide a General Description, Cost and Justification of Need.

General Description	Cost	Justification of Need
Pollution Occurrence Insurance	\$35,000.00	To insure Grantee and subgrantees from liability related to claims related to pollution occurrence incidents.
Other Direct Costs Total	\$35,000.00	

b. Please provide a basis of cost for each item listed above. Examples include vendor quotes, prior purchases of similar or like items, published price list, etc.

\$35,000.00 has been budgeted for Pollution Occurrence Insurance, which will be purchased statewide and cover all subgrantees. The estimate is based on previous years' costs (not including ARRA).

All cost included in Other Costs are properly segregated from Indirect costs, meaning they are segregated in the financial system by accounting code or GA ledger number.

All costs proposed are only being used in support of the WAP program.

8. INDIRECT COSTS

a. Are the indirect cost rates approved by a Federal agency? If so, identify the agency and date of latest rate agreement or audit and provide a copy of the rate agreement.

The latest agreement for the provisional indirect cost rate was made on October 1, 2018. The agreement was made between the United States Department of Labor, the Federal Cognizant Agency, and the Alabama Department of Economic and Community Affairs.

b. If the above does not apply, indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate. You may provide the information below or provide the calculations separately.

The name and phone number of the individual responsible for negotiating the State's indirect cost rates.

Name: Margie Merced

Phone Number: 2026934104

Indirect costs calculations:

Indirect Cost Account	Direct Total	Indirect Rate	Total Indirect
Provisional - ADECA-ED (Energy Division) 10/1/20 - 9/30/21	\$3,230,800.00	3.2500 %	\$105,001.00
		Indirect Costs Total	\$105,001.00

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AL Grant Number: EE0009885 Program Year: 2022

Name: Alabama Council on Human Relations, Inc.		Contact: Michelle Pugh	
		UEI: NM15TJNTXJM8	
		DUNS: 183860386	
Address: 950 Shelton Mill Rd		Phone: (334) 821-8336	
PO Drawer 3770		Fax: (334) 826-6397	
Auburn, AL 36831-0409		Email: michelle.pugh@achr.com	
Counties served: LEE County	Tentative allocation: \$ 123,631.00	Congressional districts served:	CD AL-03
	Planned units: 16		
	Type of organization: Non-profit organization		
	Source of labor: Contractors		
Name: Central Alabama Regional Planning and Development Commissio		Contact: Mr. Donny Barber	
		UEI: TNC1GLG9Z6U6	
		DUNS: 781377734	
Address: 430 South Court Street		Phone: (334) 262-4300	
Montgomery, AL 36104-4102		Fax: (334) 262-6976	
		Email: dbarber@carpdc.com	
Counties served: AUTAUGA County	Tentative allocation: \$ 260,520.00	Congressional districts served:	CD AL-02
MACON County	Planned units: 36		
SHELBY County	Type of organization: Non-profit organization		
RUSSELL County			
ELMORE County			
DALLAS County			
CHILTON County			
PERRY County			
	Source of labor: Contractors		
Name: Community Action Agency of Northeast Alabama, Inc		Contact: Mr. Luke Laney	
		UEI: HSXZK11LPLJ5	
		DUNS: 948061619	
Address: 1481 McCurdy Avenue, South		Phone: (256) 638-4430	
PO Box 1487		Fax: (256) 638-2039	
Rainsville, AL 35986-1487		Email: luke@caaneal.org	
Counties served: JACKSON County	Tentative allocation: \$ 640,325.00	Congressional districts served:	CD AL-04
BLOUNT County	Planned units: 90		
ST. CLAIR County	Type of organization: Local agency		
JEFFERSON County			
ETOWAH County			
CHEROKEE County			
DEKALB County			
MARSHALL County			
	Source of labor: Contractors		

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AL Grant Number: EE0009885 Program Year: 2022

Name: Community Action Agency of Northwest Alabama, Inc.	Contact: Mr. Jay Hendricks UEI: TJGCN43BLB25 DUNS: 135457047 Phone: (256) 383-3832 Fax: (256) 766-4367 Email: j.hendricks@caanw.org	Address: 745 Thompson Street Florence, AL 35630-3867
Counties served: LAUDERDALE County COLBERT County FRANKLIN County	Tentative allocation: \$ 114,506.00 Planned units: 14 Type of organization: Local agency Source of labor: Contractors	Congressional districts served: <u>CD</u> AL-05

Name: Community Action Agency of South Alabama, Inc.	Contact: Ms. Kimberly Barron UEI: LJCFLSSH88E1 DUNS: 082145368 Phone: (251) 626-2646 Fax: (251) 626-2613 Email: kimberly.barron@caaofsa.org	Address: 26440 Pollard Road PO Box 250 Daphne, AL 36526-0250
Counties served: MARENGO County CONECUH County ESCAMBIA County MONROE County BALDWIN County WILCOX County CLARKE County	Tentative allocation: \$ 186,245.00 Planned units: 26 Type of organization: Local agency Source of labor: Contractors	Congressional districts served: <u>CD</u> AL-01

Name: Community Action Agency of Talladega, Clay, Randolph, Calhoun	Contact: Mr. Steinway Cash UEI: KZEPNYBRARE9 DUNS: 105370493 Phone: (256) 268-8042 Fax: (256) 474-0854 Email: steinway@caatcrcc.org	Address: 136 North Court Street PO Box 278 Talladega, AL 35161-0278
Counties served: CLAY County TALLADEGA County CLEBURNE County CALHOUN County RANDOLPH County	Tentative allocation: \$ 157,935.00 Planned units: 20 Type of organization: Local agency Source of labor: Contractors	Congressional districts served: <u>CD</u> AL-03

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AL Grant Number: EE0009885 Program Year: 2022

Name:	Community Action Committee, Inc. of Chambers-Tallapoosa-Coos		Contact:	Mr. Kevin Walker
			UEI:	G8RJR6L5LJK3
			DUNS:	607565652
Address:	170 South Broadnax Street		Phone:	(256) 825-4287
	Dadeville, AL 36853-1704		Fax:	(256) 825-4280
			Email:	kwalker@ctccac.com
Counties served:	TALLAPOOSA County COOSA County CHAMBERS County	Tentative allocation: \$ 63,833.00 Planned units: 7 Type of organization: Non-profit organization Source of labor: Contractors	Congressional districts served:	<u>CD</u> AL-03

Name:	Community Action Partnership of Huntsville/ Madison and Limes		Contact:	Mr. Steve Gentry
			UEI:	KJIKJ9J1MUD1
			DUNS:	078971595
Address:	3516 Stringfield Road, NW		Phone:	(256) 851-9800
	P.O. Box 3975		Fax:	(256) 851-9803
	Huntsville, AL 35810-0975		Email:	sgentry@caa-htsval.org
Counties served:	LIMESTONE County MADISON County	Tentative allocation: \$ 205,884.00 Planned units: 28 Type of organization: Local agency Source of labor: Contractors	Congressional districts served:	<u>CD</u> AL-05

Name:	Community Action Partnership of North Alabama, Inc.		Contact:	Ms. Angela Ingram
			UEI:	CWA3M48K2KQ3
			DUNS:	082065335
Address:	1909 Central Parkway, SW		Phone:	(256) 260-3116
	Decatur, AL 35601-6822		Fax:	(256) 355-7953
			Email:	angela.ingram@capna.org
Counties served:	WINSTON County WALKER County LAWRENCE County MORGAN County CULLMAN County MARION County	Tentative allocation: \$ 212,664.00 Planned units: 30 Type of organization: Local agency Source of labor: Contractors	Congressional districts served:	<u>CD</u> AL-04

Name:	Community Service Programs of West Alabama, Inc		Contact:	Ms. Monica Eubanks
			UEI:	GKJYK54UUW87
			DUNS:	144583499
Address:	601 Black Bears Way		Phone:	(205) 752-5429
	Tuscaloosa, AL 35401-4807		Fax:	(205) 758-7229
			Email:	meubanks@cspwal.com

U.S. Department of Energy
WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
State: AL Grant Number: EE0009885 Program Year: 2022

Counties served:	LAMAR County TUSCALOOSA County BIBB County PICKENS County GREENE County SUMTER County FAYETTE County HALE County	Tentative allocation: \$ 205,521.00 Planned units: 28 Type of organization: Local agency	Congressional districts served:	<u>CD</u> AL-07
Source of labor: Contractors				

Name: Mobile Community Action, Inc.		Contact:	Mr. Tracy Rhodes		
		UEI:	YC9MUGJNF4Z4		
		DUNS:	049124688		
Address:	461 Donald St.	Phone:	(251) 457-5700		
	Mobile, AL 36617-0000	Fax:	(251) 457-4113		
		Email:	t.rhodes@mcamobile.org		
Counties served:	CHOCTAW County	Tentative allocation:	\$ 308,166.00	Congressional	<u>CD</u>
	WASHINGTON County	Planned units:	43	districts served:	AL-01
	MOBILE County	Type of organization:	Local agency		
		Source of labor:	Contractors		

Name: Montgomery County Commission, c/o Central Alabama Regional		Contact:	Mr. Donny Barber		
		UEI:	G7V6WJZYK5G7		
		DUNS:	099839086		
Address:	430 S Court Street	Phone:	(334) 262-4300		
	Montgomery, AL 36104-4102	Fax:	(334) 262-6976		
		Email:	dbarber@carpdc.com		
Counties served:	MONTGOMERY County	Tentative allocation:	\$ 180,886.00	Congressional	CD
		Planned units:	25	districts served:	AL-02
		Type of organization:	Unit of local government		
		Source of labor:	Contractors		

Name:	Organized Community Action Program, Inc.	Contact:	Ms. Annette Shepherd
		UEI:	XM94E912XBN6
		DUNS:	082060468
Address:	507 North Three Notch Street	Phone:	(334) 566-1712
	Troy, AL 36081-0908	Fax:	(334) 566-7417
		Email:	ashepherd@troycable.net

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WEATHERIZATION ASSISTANCE PROGRAM
SUBGRANTEE INFORMATION
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Counties served:	COVINGTON County	Tentative allocation: \$ 274,188.00	Congressional districts served:	CD
	DALE County	Planned units: 37		AL-02
	PIKE County	Type of organization: Local agency		
	BULLOCK County			
	HOUSTON County			
	LOWNDES County			
	COFFEE County			
	GENEVA County			
	HENRY County			
	BUTLER County			
	BARBOUR County			
	CRENSHAW County			
		Source of labor: Contractors		

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET

(Grant Number: EE0009885, State: AL, Program Year: 2022)

IV.1 Subgrantees

Subgrantee (City)	Planned Funds/Units
Alabama Council on Human Relations, Inc. (Auburn)	\$123,631.00 16
Central Alabama Regional Planning and Development Commission (CARPDC) (Montgomery)	\$260,520.00 36
Community Action Agency of Northeast Alabama, Inc (Rainsville)	\$640,325.00 90
Community Action Agency of Northwest Alabama, Inc. (Florence)	\$114,506.00 14
Community Action Agency of South Alabama, Inc. (Daphne)	\$186,245.00 26
Community Action Agency of Talladega, Clay, Randolph, Calhoun and Cleburne Counties (Talladega)	\$157,935.00 20
Community Action Committee, Inc. of Chambers-Tallapoosa-Coosa (Dadeville)	\$63,833.00 7
Community Action Partnership of Huntsville/ Madison and Limestone Counties, Inc. (Huntsville)	\$205,884.00 28
Community Action Partnership of North Alabama, Inc. (Decatur)	\$212,664.00 30
Community Service Programs of West Alabama, Inc (Tuscaloosa)	\$205,521.00 28
Mobile Community Action, Inc. (Mobile)	\$308,166.00 43
Montgomery County Commission, c/o Central Alabama Regional Planning and Development Commission (Montgomery)	\$180,886.00 25
Organized Community Action Program, Inc. (Troy)	\$274,188.00 37
Total:	\$2,934,304.00 400

IV.2 WAP Production Schedule

Planned units by quarter or category are no longer required, no information required for persons.

Weatherization Plans	Units
Total Units (excluding reweatherized)	400
	400
Rewatherized Units	0
	0

Average Unit Costs, Units subject to DOE Project Rules

VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES)

A Total Vehicles & Equipment (\$5,000 or more) Budget	\$0.00
B Total Units Weatherized	400
C Total Units Reweatherized	0
D Total Dwelling Units to be Weatherized and Reweatherized (B + C)	400
E Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D)	\$0.00
AVERAGE COST PER DWELLING UNIT (DOE RULES)	
F Total Funds for Program Operations	\$1,842,960.00

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G Total Dwelling Units to be Weatherized and Reweatherized (from line D)	400
H Average Program Operations Costs per Unit (F divided by G)	\$4,607.40
I Average Vehicles & Equipment Acquisition Cost per Unit (from line E)	\$0.00
J Total Average Cost per Dwelling (H plus I)	\$4,607.40

IV.3 Energy Savings

Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below)			
	Units	Savings Calculator (MBtus)	Energy Savings
This Year Estimate	400	29.3	11720
Prior Year Estimate	425	29.3	12452
Prior Year Actual	302	29.3	8849
Method used to calculate savings description:			

IV.4 DOE-Funded Leveraging Activities

LEVERAGING ACTIVITIES

Low-Income Home Energy Assistance Program (LIHEAP) funds are provided through the U.S. Department of Health and Human Services. LIHEAP funds can be used in conjunction with DOE funds. LIHEAP funds will be available for weatherization activities in this Program Year.

In accordance with 440.14 (b)(9)(xiv), The State of Alabama encourages subgrantees to utilize private resources to increase the amount of assistance to eligible clients. No State funds are available for weatherization projects and since all subgrantees are public or nonprofit entities they must rely solely on Federal Funds (LIHEAP and DOE).

IV.5 Policy Advisory Council Members

☒ Check if an existing state council or commission serves in this category and add name below

Mr. Donny Barber	Type of organization: Non-profit (not a financial institution) Contact Name: Donny Barber Phone: 3342624300 Email: dbarber@carpdc.com
Mr. Kris Rowe	Type of organization: Non-profit (not a financial institution) Contact Name: Kris Rowe Phone: 2052277688 Email: krowe@caaalabama.org
Mr. Luke Laney	Type of organization: Non-profit (not a financial institution) Contact Name: Luke Laney Phone: 2566384430 Email: luke@caaneal.org
Ms Wendy Littles	Type of organization: Unit of State Government Contact Name: Wendy Littles Phone: 3343533375 Email: wendy.littles@adeca.alabama.gov
Ms. Deloris Mastin	Type of organization: Non-profit (not a financial institution) Contact Name: Ms. Deloris Mastin Phone: 2568519800 Email: dmastin@caa-htsval.org
Ms. Marquita Lennon	Type of organization: Unit of State Government Contact Name: Ms. Marquita Lennon Phone: 3342422698 Email: marquita.lennon@psc.alabama.gov
	Type of organization: Unit of State Government

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Ms. Misty Barnes	Contact Name: Misty Barnes Phone: 3343538712 Email: misty.barnes@adss.alabama.gov
Ms. Monica Eubanks	Type of organization: Non-profit (not a financial institution) Contact Name: Monica Eubanks Phone: 2054697076 Email: meubanks@cspwal.com
Tanganyika Grayson	Type of organization: Utility Contact Name: Tanganyika Grayson Phone: 2052572357 Email: tgrayso@southernco.com

IV.6 State Plan Hearings (Note: attach notes and transcripts to the SF-424)

Date Held Newspapers that publicized the hearings and the dates the notice ran

01/28/2020 Notice was posted on the Secretary Of State Website as required by the Alabama Open Meetings Act on January 10, 2022. Public hearing was held January 28, 2022.

01/28/2022 The Mobile Press Register and the Birmingham News ran ad for public hearing on January 14, 2022. The Montgomery Independent ran ad for public hearing on January 13, 2022. Hearing is to take place on January 28, 2022

IV.7 Miscellaneous

The previous provider of weatherization services for Jefferson County is no longer providing those services. A new service provider, Community Action Agency of Northeast Alabama, was selected through a Request for Proposals. The agency was notified on March 1, 2022 that they were selected.

Alabama entered into a Programmatic Agreement with the State Historic Preservation Office on April 6, 2010; this agreement was amended on December 7, 2020 and extended to December 31, 2030.

Notices for Public Hearings are posted on the Secretary of State Website as required by the Open Meetings Act

https://www.openmeetings.alabama.gov/generalpublic/display_notices.aspx

Notice of Public Hearing is also posted in newspapers throughout the State. Notices are attached.

Additionally subgrantees are notified of a public hearing by email and standard mail.

Notices are posted to give required 10 days notice.

Recipient Principal Investigator: Jennifer Lee

E-mail: jennifer.lee@adeca.alabama.gov

Phone: 334-353-3005

Recipient Business Officer: Kenneth W. Boswell, Director

E-mail: kenneth.boswell@adeca.alabama.gov

Phone: 334-242-5594

Weatherization Readiness Fund Plan

The purpose for Weatherization Readiness Fund (WRF) is to reduce the frequency of deferred homes that require services that are outside the scope of weatherization before the weatherization services can commence. WRF will bring the dwelling into weatherization readiness by addressing structural and health and safety issues.

The WRF will be distributed to the 13 Weatherization Subgrantees according to the formula historically used to distribute weatherization funds.

WRF Maximum

Subgrantees can spend no more than \$8,000 of WRF to prepare a dwelling for weatherization. If a dwelling requires more than \$8,000 to prepare for weatherization, the dwelling must be deferred unless the Subgrantee has access to additional funds they can combine with the WRF. WAP BIL funds cannot be combined with WRF.

Prioritization of Dwellings

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The Subgrantee must conduct a thorough inspection of the dwelling to identify all deferral issues. After clients are deemed eligible for weatherization services (including the prioritization of Elderly Persons, Families with Children, Persons with Disabilities, High Residential Energy Users, and High Energy Burden), they will be eligible to receive WRF.

For WRF money to be expended, an Energy Audit must be performed on the dwelling. As such, issues dealing with the safety and well-being of the auditor or general inaccessibility of areas in the dwelling (clutter) cannot be addressed with WRF. If the dwelling cannot be made ready for weatherization, it should be deferred.

The nature of the repairs may fall under the following categories:

- Roof Repair
- Wall Repair (Interior or Exterior)
- Ceiling repair
- Floor Repair
- Exterior drainage repairs (e.g. gutters)
- Plumbing repairs
- Electrical repairs
- Cleanup or remediation beyond typical scope of WAP
 - Lead Paint
 - Asbestos (Confirmed or suspected, including vermiculite), mold and/or moisture
 - Debris
 - Pests or feces removal

Any other possible issue or repair not mentioned above will require the Subgrantee to obtain permission from the Grantee prior to utilizing the WRF.

LIWAP and other non-DOE funds may be utilized to leverage WRF activities to bring a dwelling to weatherization readiness status.

Restrictions

Any dwelling that receives WRF money must result in a DOE completion. This means at least one Energy Conservation Measure (ECM) using DOE funds must be installed in the dwelling. If WRF money is used on a dwelling and the dwelling does not result in a DOE completion, the Subgrantee must reimburse DOE the amount of WRF money spent on the dwelling with non-state, non-federal money.

WRF will not be utilized for homes that exhibit dangerous conditions that may pose a significant threat, endangerment, or can create a significant health concern to the Subgrantee's staff, contractors, and/or crews.

WRF money must be tracked separately from other DOE funds.

Monitoring

The WRF will be monitored through the monthly reimbursement process. Subgrantees will be required to indicate and identify the homes where WRF was utilized on their expenditure reports.

Additionally, the WRF will be monitored during yearly remote and onsite monitoring. The Subgrantee will be responsible for producing documentation (e.g. invoices, etc.) to corroborate the expenditures for the purpose of making the dwelling weatherization ready. ADECA will collect the following information in its annual monitoring of subgrantee:

1. Number of dwellings receiving WRF money by Subgrantee and dwelling type (site-built or manufactured)
2. Amount of WRF money spent by Subgrantee and dwelling type
3. Amount of WRF money spent per dwelling by Subgrantee
4. Nature of repairs (roof, plumbing, floors, electrical, etc.) by Subgrantee and dwelling type
5. For site-built dwellings, the year constructed
6. Other funds used to ready dwellings for weatherization, if applicable

ADECA will also ensure each dwelling that receives WRF money results in a DOE completion and that no WRF money is expended on Bipartisan infrastructure Law (BIL) weatherization units.

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This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

Provide a description of the definition of income used to determine eligibility

General Description

Income data for the 12 months preceding the date of application is used. The State provides subgrantees with an "Application for Weatherization Assistance Form" containing information that must be obtained from prospective program participants before a decision can be made on their eligibility for weatherization assistance. All applicants are required to identify the amount and source of income for their household. In addition, they have to indicate whether they rent or own their home. All applicants are required to sign their application, testifying to the correctness of their statements. Falsification of an application is subject to prosecution. Income is defined as the items listed in Weatherization Program Notices (WPN) that dictate Poverty Income Guidelines.

To be eligible for WAP services, an applicant must have a gross annual household income at or below 200 percent of the poverty level as published by the U.S. Department of Health and Human Services.

Describe what household eligibility basis will be used in the Program

No dwelling unit may be weatherized without documentation that the dwelling unit is an eligible unit. A standard weatherization application is used by local Community Action Agencies (CAA's). This application requires that all household income be calculated, per DOE requirements. It also requires that income and home ownership is verified by Agency staff. Income Eligibility Limits will follow the 200% of poverty guidelines updated yearly in DOE Program Notices.

CAAs are required to maintain a signed weatherization program application in the clients file.

A record of previously weatherized dwelling units by address is maintained in FACSPRO. If the house is eligible for reweatherization, the subgrantee makes a determination whether or not to reweatherize the house based on a number of factors.

If weatherization services do not begin within 12 months of the eligibility determination date, the household's eligibility must be redetermined.

Priorities are described in Section V.5.

Describe the process for ensuring qualified aliens are eligible for weatherization benefits

Alabama will follow the policies outlined in "Summary of Immigrant Eligibility Restrictions Under Current Law as of 2/25/2009" in the HHS Guidelines, when determining eligibility of qualified and non qualified aliens.

Requirements for Qualified Aliens

A Qualified Alien is defined in 8 U.S.C. § 1641 and is eligible for weatherization if all other points of eligibility are met.

Additional information can also be found in *LIHEAP IM HHS Guidance on the Use of Social Security Numbers (SSNs) and Citizenship Status Verification Published December 12, 2014*

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

FACSPRO, the intake system utilized by all subgrantees, will ask the intake worker to verify all members of a household to determine the number of priority points for the applicant (see below) and ages of members of the household. Household income documentation must be retained in the client file as well. Proof of ownership is required. If the unit is a rented unit, the owner/landlord must sign a rental release form which specifies that rent will not be raised solely due to the increased value because of weatherization and that no undue or excessive enhancement shall occur to the value of the dwelling. The FACSPRO system maintains weatherized addresses from 2002-present individual agencies may have additional records.

Describe Reweatherization compliance

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Section 1011(h) of the Energy Act of 2020, amends 42 U.S. Code § 6865(c)(2) removing the reweatherization date, September 30, 1994, and create a "rolling" option.

Dwelling units weatherized (including dwelling units partially weatherized) under this part, or under other Federal programs (in this paragraph referred to as 'previous weatherization'), may not receive further financial assistance for weatherization under this part until the date that is 15 years after the date such previous weatherization was completed. This paragraph does not preclude dwelling units that have received previous weatherization from receiving assistance and services (including the provision of information and education to assist with energy management and evaluation of the effectiveness of installed weatherization materials) other than weatherization under this part or under other Federal programs, or from receiving non-Federal assistance for weatherization.

Alabama uses the Families, Agencies, Community Services Program (FACSPRO) System. This system is used to track completed weatherized units and will be used to insure that homes that have received weatherization assistance are not eligible to receive additional weatherization assistance using federal funds until at least 15 years after the date of completion. FACSPRO allows addresses to be searched to determine if a unit has received prior weatherization and the date of those services. Additionally, if an address has received previous weatherization then weatherization services will not appear as an eligible program for that applicant. To ensure accurate records of weatherized homes are maintained the use of FACSPRO will be required by all agencies during the Program Year. The FACSPRO system maintains weatherized addresses from 2002- present individual agencies may have additional records.

Describe what structures are eligible for weatherization

Structures eligible for weatherization include single family and manufactured housing. Non traditional dwelling units such as shelters, apartments over businesses, etc., will be discussed with, and if necessary, approved by the DOE PO prior to weatherization. All structures must be stationary and have a specific mailing (street) address. Campers, non-stationary trailers, and storage buildings are not eligible.

Multi-Family units that are 4 units or less must use the Single Family Audit Tool (NEAT) .

Multi Family Units greater than 4 units must use a DOE approved Multi-Family Energy Audit. The audit will be submitted to the Grantee who will submit it to DOE for review and approval before any work may be done.

Additionally, (NEAT) can be used for individually heated and cooled units under 25 units, in addition to sending to DOE for prior approval.

A programmatic agreement is chartered between DOE, the Advisory Council on Historic Preservation and the National Conference of State Historic Preservation Officers. The programmatic agreement works to eliminate a backlog of houses from unnecessary review and streamline the process of completing weatherization projects. Through this agreement DOE made the Advisory Council aware of what the specifics of the Weatherization Assistance Program are and that most measures do not alter the structure of homes. Based on the WAP Priority Measures list, this agreement exempts most of the measures performed through weatherization from Section 106 review. A list of these exempt measures was laid out in the appendices of the Programmatic Agreement. The list was compiled with the WAP Priority Measures list as guidance.

Describe how Rental Units/Multifamily Buildings will be addressed

In order to insure the benefits of weatherization accrue primarily to the low income tenants, subgrantees are required to have a Rental Release Form signed by the Client/Tenant and the Landlord/Owner.

This form allows the CAA to perform weatherization work on the home and also prohibits the landlord/owner from raising the rent for a period of one year based solely on the increased value of the dwelling because of weatherization.

No undue or excessive enhancement shall occur to the value of the dwelling unit. A properly executed energy audit with an ECM of 1 or greater would not constitute an undue enhancement. The weatherization program is primarily an energy efficiency program not a home repair and rehabilitation program. Extensive repair and rehabilitation measures outside the scope of weatherization such as roof and siding replacement, home improvement/beautification, etc. are not allowed with DOE funds.

Multi-family units may be weatherized. Multi family units are eligible if the following criteria are met. 66% of the units must be income eligible to weatherize a multi-family unit with 5 or more units; 50% must be income eligible to weatherize a multi-family dwelling of 4 units or less.

Describe the deferral Process

See Deferral Policy which is part of Health and Safety Plan

When a home is deferred for weatherization services the subgrantee determines if another program housed within that subgrantee or local to the area will be able to assist and correct deferral issues. If no program can be identified the client is referred to other sources primarily USDA, and/or calling 211 which is a directory for the United Way which can provide contact information for additional services.

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V.1.3 Definition of Children

Definition of children (below age): 18

V.1.4 Approach to Tribal Organizations

☐ Recommend tribal organization(s) be treated as local applicant?

If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal.

Low-Income Members of Indian Tribes

The State of Alabama will ensure that eligible members of Indian tribes will receive benefits equivalent to the assistance provided to other low income persons within the State of Alabama. ADECA stipulates that local program operators assure weatherization activities to include low-income Native Americans.

V.2 Selection of Areas to Be Served

Selection of Areas to be served

The agencies operating the WAP in Alabama have service areas which the appropriate public officials designated when establishing the agencies. These service areas are recognized by ADECA in determining areas to be served by weatherization projects operated by either a Community Action Agency or local government entity. All of Alabama's 67 counties are served. Applicants are served based on the Priority Points received during application. Applicants with the highest points are served first. Occasionally, an agency will come across a dwelling that may not rank as high on the point system as others, yet be cause of some unusual circumstance, such as illness, storm damage or other, the need for weatherization services is great, and the dwelling may be weatherized. Also, the subgrantee may group dwellings having lower priority points with dwellings having higher priority points for program efficiency purposes. Any deviation from the usual procedure requires documentation be maintained in the client file.

In the event an agency cannot fulfill the terms of its contract for whatever reason the state will use a temporary alternate subgrantee to provide weatherization services for the area until a new subgrantee for that area can be selected through RFP process. This will help minimize the disruption for the service area until a new subgrantee is in place.

The formula used to allocate funds to each county in Alabama is based on the percentage of population in poverty in each county, each county received an amount of funds based on percentage in poverty. In turn each agency is allocated funds based on which counties they serve.

The State of Alabama ensures that in selecting WAP subgrantees, preference is given to Community Action Agencies or other public or nonprofit entities that have, or are currently administering, an effective program, with program effectiveness evaluated by consideration of factors including, but not necessarily limited to, the following:

The extent to which the past or current program achieved or is achieving weatherization goals in a timely fashion;

The quality of work performed by the subgrantee and;

The number, qualifications and experience of the staff members of the subgrantee.

ADECA ensures that the funds received from the Department of Energy (DOE) for the WAP will be allocated in accordance with DOE's selection criteria for subgrantees. These funds will be allocated to areas on the basis of the relative need for a weatherization project by low-income persons. These allocations will be based entirely on the percentage of the State's poor persons in each county served by the subgrantees.

Funds are allocated based on the U. S. Census Poverty Percentage Factor Data. The percentage below poverty figure for each county is applied. This ensures that funds are allocated to all areas based on relative need.

Multi-county subgrantees will be required to adhere to each county's allocation of WAP funds by weatherizing a proportional number of units within each county of its service area in relation to its total WAP allocation.

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V.3 Priorities

Priorities

In identifying and providing weatherization assistance, priority is given to elderly and disabled low-income persons, families with small children, and other high energy consuming dwelling units according to the following standard statewide prioritization procedures. These procedures are based upon a Priority Point System in which points are assigned as follows:

Priority Point System:

1. If head of household is disabled - 10 points
2. If head of household is elderly (60 or over) - 10 points
3. Household with children under 18 years of age - 10 points
4. If one or more members of the household is elderly and/or disabled - 5 points
5. High Energy Consumers (utility bill \$200.00 or more) or LIHEAP Client- 5 points
6. High Energy Burden (residential energy burden exceeds median level of energy burden) - 5 points

Applications with the highest number of points will be weatherized first. Occasionally an agency will come across a dwelling that may not rank as high on the point system as others, yet because of some unusual circumstance, such as illness, storm damage or other, the need for weatherization assistance is great. In such cases the agency may make an exception and weatherize that dwelling. The purpose of the Priority Points System is to assist subgrantees in identifying the dwelling units most in need of weatherization assistance according to the established priorities. If an agency has 70 applications on hand from one county and only enough funding to complete 40 dwelling units, obviously some applicants will not be served with funds currently available. The Priority Points System provides for a fair and consistent means of evaluating and selecting which clients can be served and in what order.

V.4 Climatic Conditions

The climatic conditions for the major urban areas of Alabama are included in each year's State Plan. This data was obtained from the National Weather Service. The climatic variances within the state influence certain procedures utilized in the WAP.

The State of Alabama falls into two major climactic zones.

The State is divided through the middle, the northern part of the state is considered a Mixed-Humid climate while the Southern part of the state is considered a Hot-Humid Climate.

Additionally, the southern-most area of the state is also part of a Coastal Climate.

See attachment for Heating and Cooling Degree Days

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Types of Work to be Performed

The State of Alabama's the National Energy Audit Tool (NEAT) or the Mobile Home Energy Audit (MHEA). All work to be done will be consistent with a DOE-approved energy audit using materials meeting the requirements of Appendix A. Alabama will pursue the development of a Priority Measures List to be used in conjunction with Energy Audits as applicable.

Implementation of Weatherization Program Notice 15-4: Section 1

The Alabama WAP Field guides for Single Family Site Built and Mobile Homes were approved by DOE, December 2021.

Hard copies along with electronic versions are available to the network. Hard copies are provided to subgrantees and electronic versions are emailed and available on the ADECA website at:

<https://adeca.alabama.gov/wp-content/uploads/AL-Field-Guide-12-6-21.pdf>

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Signed receipts will be maintained to indicate receipt and agreement with standards outlined in filed guides.

Implementation of Weatherization Program Notice 15-4: Section 2

All subgrantee agreements and vendor contracts will contain language which clearly documents the specifications for field work. ADECA will include a certification document with the Subrecipient contract to document acknowledgment and receipt of these technical requirements.

Sample Contract language may include but is not limited to:

All weatherization work performed with DOE funds by the subgrantee or any of its contractors must meet the guidelines specifications outlined in the Standard Work Specifications (SWS) provided by the Department of Energy (DOE) and the National Renewable Energy Laboratory (NREL). The Alabama Weatherization Field Guide has been updated to include specifications and references to the Standard Work Specifications (SWS) and must be adhered to when performing weatherization work. Additional information regarding the Standard Work Specifications can be found at <https://sws.nrel.gov/>. All contracts and subcontracts entered into by the subgrantee and/or one of its contractors must include the language above.

Signed contracts will confirm receipt of and agreement to adhere to work quality expectations

Field guide types approval dates

Single-Family: 12/6/2021
Manufactured Housing: 12/6/2021
Multi-Family:

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: NEAT
Approval Date: 1/21/2021

Audit Procedure: Manufactured Housing
Audit Name: MHEA
Approval Date: 1/21/2021

Audit Procedure: Multi-Family
Audit Name: Other (specify)
Multi family dwellings with 4 or fewer units may use the Single Family Audit Tool (NEAT) Multi family dwellings with 5 or more units must use a DOE approved multifamily energy audit. The audit must be reviewed and approved by DOE prior to work commencing
Approval Date: -

Comments

Alabama received approval for the use of Weatherization Assistant v.10 on Jan 21, 2021. Homes that fall outside the parameters of the Priority Measures Lists, if available, will require an audit using either a National Energy Audit Tool (NEAT) or Mobile Home Energy Audit (MHEA) whichever is applicable.

V.5.3 Final Inspection

Final Inspections

Subgrantees are required to conduct and approve a final inspection of each dwelling weatherized before the job can be reported to ADECA-Energy as complete. Non-compliance to this program requirement is considered a serious offense and can jeopardize a subgrantee's funding. Both the Building Weatherization Report (BWR) and the Final Inspection form must be signed and dated by the individual(s) trained and authorized to complete the inspection. The Final Inspection form also requires

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the signature of the Head of Household which verifies all work was performed in a satisfactory manner. The Final Inspection forms are retained in the client's folder and inspected for compliance by ADECA-Energy's monitor(s) when a monitoring visit is conducted. At the beginning of each month, subgrantees send BWRs of all homes completed the previous month to ADECA-Energy for review by the monitors and/or the program manager to ensure program compliance.

ADECA-Energy staff also inspects each subgrantee's completed work during the monitoring visit on-site reviews. Weatherized homes are inspected to verify compliance with the Installation Standards. The grantee will monitor/inspect at least 10% of completed units. ADECA-Energy staff selects which jobs will be monitored at random and/or during the course of a desk review which is conducted prior to each visit.

Implementation of Weatherization Program Notice 15-4: Section 3

Funds are regularly available for grantee and subgrantee staff to obtain Quality Control Inspector Certification through IREC accredited training centers. Subgrantees will have the option of obtaining the QCI certification and performing the quality control inspections at their agencies, or if subgrantee staff is unable to obtain certification the subgrantee will be required to subcontract a Quality Control Inspection by a Quality Control Inspector.

- All units reported to DOE as completed will be inspected to insure compliance with specifications outlined in the SWS.
- All quality control inspections, including final inspections and monitoring inspections, will be conducted and signed off by a certified QCI.

Due to the lack of available agency staff subgrantees may use the Independent Auditor/QCI which will allow the auditor/assessor to be the same individual. Because this model does not allow for an independent review the grantee will increase its monitoring efforts to include at least 10% of units completed by each subgrantee.

There are 14 Subgrantee agencies in the state of Alabama. Ideally each agency would have an individual on staff to provide QCI final inspections; with current agency staff it will not be possible to have a QCI at each agency. All Weatherization Coordinators will have the ability to attend QCI training, however, due to the prerequisites for testing not all Weatherization coordinators will be able to obtain certification. For subgrantee agencies that do not have staff certified, each will be required to contract QCI inspections either in partnership with other community action agencies or through other certified individuals. A Memorandum of Understanding (MOU) will be entered into by subgrantees wishing to partner with each other to perform Quality Control Inspections.

Two Quality Control Inspector Training's have taken place in Alabama through Southface Energy Institute. Currently 9 individuals hold QCI certifications in the State of Alabama, all of which currently work within the WAP Network. Other individuals within the WAP Network have completed the QCI Training.

Subgrantees are required to ensure that each completed unit will be inspected by a certified Quality Control Inspector. As part of the grantees regular monitoring final inspection forms and processes will be reviewed to ensure the inspections are being performed correctly and in a manner that meets expectations outlined in WPN 15-4. Failure to abide by the QCI process may result in questioned/unallowable cost. Multiple instances of poor QCI inspections will result in the subgrantee being placed on a Quality Improvement Plan at minimum and may result in the loss of the subgrantee's weatherization assistance program.

Final inspection forms have been updated to include language that attests that a final inspection has been performed by a Certified Quality Control Inspector and that all work has met the requirements set forth in the Standard Work Specification.

V.6 Weatherization Analysis of Effectiveness

ADECA-Energy continuously evaluates the effectiveness of subgrantee operations. Subgrantees are selected and retained pursuant to their experience and performance with low-income persons and its capacity to perform weatherization measures. The past or current program achievement is considered. They must have the capacity to perform quality measures in a timely and effective manner.

Subgrantees must report their activities each month, information containing the number of homes completed, the number of applicants on the waiting list, number of homes in progress, expenditure reports and balances, etc. is reviewed and compiled for analysis and reporting purposes.

Files are maintained for each of the subgrantees which contain contracts and related information, along with production documentation and monitoring reports. Additionally files are maintained for each subgrantee which contains fiscal information, expenditure reports, backup documentation etc. The information maintained in these files can be used to show how each subgrantee is meeting their contractual responsibilities.

Whenever there are findings during a monitoring visit the subgrantee is required to successfully complete corrective actions as instructed by the grantee. Future monitoring visits look closely at past issues to insure the agency has understood the corrective action and continues to perform said issues correctly.

Prior to monitoring visits agencies will be sent a self assessment tool which inquires about fiscal status, inventories, property and equipment, internal controls, etc. These can be used by the agency to locate areas for improvement as well as a tool for monitor to review specific aspects of an agencies day to day activities. These assessments are provided to the monitor during the monitoring visit and discussed with the subgrantee during the visit.

Effectiveness by Subgrantee

In an attempt to quantify more information regarding each individual subgrantee's effectiveness, the grantee intends to review actual energy savings to compare agencies which have similar budgets and similar unit production requirements. Actual energy savings produced between similar subgrantees can be compared so

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that if one agency is proving to be more effective in its weatherization as compared to another similar agency further inquiry into why this is happening may yield opportunities for improved Training and Technical Assistance. The desire would then be to bring the lagging agencies up to par with the higher performing ones.

Another way to identify issues one agency may be having that another agency is not, is to track client complaints both by nature of the actual complaint and which agency and/or contractor performed the work on that clients home. If one agency receives numerous complaints about a particular issue while a neighboring agency does not, it would stand to reason there is a teachable moment which harbors the ability to correct this recurring error. Having one agency mentor another on a particular incident has the potential to reduce the number of complaints received by the respective agency thus making them more efficient and effective in their weatherization.

Onsite Inspections of Weatherized and In-Progress Units

The grantee will monitor at least 10% of completed units. In addition to completed units, monitor(s) will inspect units in progress to identify best practices and/or shortfalls early in the process and to allow for onsite training and technical assistance opportunities in lieu of potential disallowed costs.

Program & Fiscal Monitoring

An annual monitoring visit is conducted with each subgrantee to conduct programmatic and fiscal monitoring visits. These visits focus on fiscal, administrative and programmatic compliance with all applicable federal and state WAP rules and regulations. If issues are discovered during monitoring visits they must be reconciled in the agency's response to the monitoring report and are reviewed during subsequent monitoring visit to ensure problems have been corrected.

Utility Usage Data

ADECA will strive to improve the process for collection of accurate utility usage data on homes weatherized in Alabama. Better collection and use of the data will provide greater evidence of the cost savings provided by the WAP.

V.7 Health and Safety

See Attachments for Health and Safety Plan
Total average Health and Safety Costs will not exceed 20% of Total Program Operations

Definitions:

Case by Case: separate and distinct from others of the same kind, individual judgment

Case by Case issues must be submitted to the grantee for review and approval

Major: Notable or conspicuous in effect or scope

Minor: inferior in importance, size, or degree: comparatively unimportant

V.8 Program Management

V.8.1 Overview and Organization

Organization

Administration of the WAP at the local level is performed by subgrantees – local government and community action agencies. Information concerning these agencies follows on the next page.

The administration of the WAP is performed at the state level by the Alabama Department of Economic and Community Affairs, Energy Division (ADECA-Energy).

WAP Program consists of the Unit Chief, Program Manager, and Program Monitor. It is housed in the Energy Division of the Alabama Department of Economic and Community Affairs. The Energy Division is also home to the State Energy Program, the LIHEAP Program, and the CSBG Program.

Production information is submitted to the Program Manager for a cursory review then passed along to Program Monitor for additional review and data collection

Invoices are reviewed by Unit Chief and approved by Division Chief before being submitted to Financial Services for processing and payment.

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V.8.2 Administrative Expenditure Limits

Administrative Expenditure Limits

Administrative funding will be no more than 15 percent of the PY allocation. The grantee ADECA-Energy can receive up to 7.5% of the total PY allocation for administrative purposes. The subgrantees must receive at least 7.5% of the PY allocation for administrative purposes.

The budget for this PY provides 4.5% for grantee and 10.5% for subgrantee administrative purposes.

V.8.3 Monitoring Activities

In compliance with 10 CFR 440.12 (b) (6), the State of Alabama has established the following monitoring plan to ensure that all subgrantees adhere to contractual and Federal regulatory guidelines and instructions, have adequate programmatic and financial management control, and perform work on homes by acceptable standards.

All subgrantees will be monitored at least once each program year. Those agencies which have indicated weaknesses in any area necessary to ensure program and fiscal compliance may receive additional visits. A mid-year review of the subgrantee's home production will occur this program year. Unacceptable production can result in the deobligation of a subgrantee's Weatherization Funds and the reallocation of those funds to capable and productive subgrantees.

Previously, monitoring DOE units was somewhat unpredictable based on the fact that DOE and LIHEAP weatherization were conducted completely separately. Generally, LIHEAP weatherization production was the focus of the first half of the program year while DOE was the focus the last half; advanced scheduling was difficult due to the wait for completed units. The program now combines the DOE and LIHEAP weatherization which will even out production making scheduling easier.

There are 14 subgrantees to be monitored the grantee will schedule monitoring as follows:

Quarter 2 - Monitoring of at least 5 Subgrantees

Quarter 3 - Monitoring of at least 5 Subgrantees

Quarter 4 - Monitoring remaining 4 Subgrantees

At this time, the Energy Division has one program monitor and one program manager who will complete the monitoring of case files and the quality review of completed work on homes. The program monitor was recently hired and is in the process of receiving training and obtaining certifications. The employee classified as a monitor will charge 50 % of his time to DOE T&TA and 50% of his time to LIWAP (LIHEAP Weatherization) while the Program Manager will charge 20 % his time to DOE Admin, 40% DOE T&TA and 30% LIWAP. Additionally the Program Manager has a QC certification as well and will assist as needed.

At least one ADECA employee will conduct a programmatic and technical review of subgrantee agencies. During the program year, each subgrantee will be subjected to at least one (1) monitoring visit to ensure the providing of quality services programmatic and technical reviews may take place concurrently or independently. Alabama is using the independent Auditor/QC option which requires at least 10 % of all completed homes to be monitored. A minimum of 10% of the house allocation per subgrantee will be visited by the monitor(s). Pervasive errors, omissions, or dissatisfaction may be investigated with on-site reviews. Monitoring includes approximately 10 Client File reviews (if that many are available) these reviews look at the application, required eligibility documentation, Priority Point calculations, Identification, signatures, and forms. Contractor files are reviewed to ensure they possess all required documentation such as business licenses, training certification, insurances, and contracts between the subgrantee and the contractor. Bid documentation is reviewed to ensure that the bidding was done according to any laws and policies and that the lowest responsible bidder is awarded the work. We also review subgrantee agency documentation including insurance, mileage logs, time sheets, invoices, and payments to contractors.

After a monitoring visit has taken place a monitoring report is generated and sent to the subgrantee within 30 days. This report contains an overview of the monitoring and any findings along with corrective actions, if applicable. The subgrantee then has 30 days to respond to the Grantee monitoring report with a corrective action plan, if applicable, that demonstrates the process and procedures that the Subgrantee will implement, including timelines, to address the deficiency observed by the Grantee during the monitoring visit. The grantee will review the corrective action plan to determine if all corrective actions have been adequately addressed, if corrective actions have not been adequately addressed to the satisfaction of the grantee the subgrantee is issued an additional letter explaining what needs to be done further. The subgrantee then has 15 days to respond. If the subgrantee does not complete the required corrective actions to the satisfaction of the grantee funding may be withheld until all corrective actions have been satisfactorily completed.

The Independent Auditors and State Examiners review subgrantee program operations on an annual basis. These internal audits will be conducted in accordance with the General Accounting Office's "Standards for Audits of Governmental Organizations, Programs, Activities, and Function" and generally accepted auditing standards established by the American Institute of Certified Public Accountants.

Monitoring findings by the Energy Division and the reviews by Independent Auditors and/or State Examiners will be reported to the subgrantee in writing in a timely

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manner. Any deficiencies in program operations which are not corrected in accordance with the instructions may result in funds being withheld from the subgrantee or in termination of that agency's program.

Each subgrantee is required to submit monthly Production Progress Reports to ADECA-Energy within ten (10) calendar days of the first of each month if the agency has a Weatherization Contract. This report compiles data such as the demographics of the homes weatherized for the previous month. The report also tracks the subgrantees' homes in-progress. The reports are reviewed and recorded to ensure that plan versus performance goals are being met. Failure to submit the report within the allotted time frame could delay the subgrantee's funding.

In addition to these monitoring efforts, each subgrantee, except local governments who are audited by the State Examiner, is required to receive a Single Audit Report of Federal funds in compliance with 2 CFR 200 Subpart F if applicable. Audits are reviewed by grantee staff as part the risk assessment each year.

V.8.4 Training and Technical Assistance Approach and Activities

Training & Technical Assistance (T&TA) funds will be assigned evenly to subgrantees each subgrantee will receive \$12,000.00 budgeted for T&TA. While this allocation is oftentimes used to pay for subgrantees' attendance at state and federal weatherization conferences, it can be used when the state office is training a single agency, the subgrantee is outsourcing training needs, or for use in peer-to-peer training.

The grantee plans to issue an RFP during the coming year to procure Comprehensive Training for the WAP Network. The RFP will select an accredited training center to help develop and implement a comprehensive training plan. The RFP is expected to be developed and released by the end of the second quarter and implemented in the third quarter. Additionally, the grantee intended to procure training for NEAT/MHEA once the new versions are released and available.

Subgrantees are encouraged to explore other training opportunities on their own. When opportunities arise the subgrantee submits a request to attend said training and then it is either approved or denied by the State.

Currently certifications and licenses are maintained at the subgrantee level for contractors used by the subgrantee to perform weatherization work on homes. In that same way the grantee will begin to maintain copies of certifications and a database of certified individuals in the weatherization network with a current emphasis on Quality Control Inspector certifications.

There are nine individuals in the state who have QCI certification in the WAP network. While not all subgrantee staff will be able to sit for the test the QCI training will be available for subgrantee weatherization staff.

Subgrantees will be allowed to provide T&TA funds for contractors within the WAP. The use of T&TA funds to reimburse contractors is limited to T&TA that supports the four Home Energy Professionals occupations (Retrofit Installer Technician, Crew Leader, Energy Auditor, Quality Control Inspector). Reimbursement will be limited to actual registration fees, lodging, and transportation costs based on the location of the conference. Contractors will also be required to sign a retention agreement stating they will continue to provide weatherization services to the Alabama WAP network for a minimum of six months.

Client Education

During assessment the assessor goes over what measures will be performed on the home and answers any questions the client may have. Grantee and subgrantee are available to answer questions if an issue arises. Clients are also provided with booklets and pamphlets to aid in their understanding of energy saving and potential dangers.

The following booklets/pamphlets are provided to the client:

Energy Savers-Tips on Saving Energy and Money
Carbon Monoxide-Guard Against a Silent Killer
The Lead-Safe Certified Guide to Renovate Right
A Brief Guide to Mold, Moisture, and Your Home

Percent of overall trainings

Comprehensive Trainings:	5.0
Specific Trainings:	95.0

Breakdown of T&TA training budget

Percent of budget allocated to Auditor/QCI trainings:	5.0
Percent of budget allocated to Crew/Installer trainings:	0.0
Percent of budget allocated to Management/Financial trainings:	95.0

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V.9 Energy Crisis and Disaster Plan

<p>The State will not be implementing an Energy Crisis Plan.</p>
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Alabama Weatherization Health and Safety Plan

2022 Program Year

☒ POLICY SUBMITTED WITH PLAN

1.0 – GENERAL INFORMATION

Grantees are encouraged to enter additional information here that does not fit neatly in one of the other sections of this document.

This Health and Safety Policy is part of the 2022 Alabama Weatherization Assistance Program. Effective April 1, 2022 through March 31, 2023

2.0 – BUDGETING

Grantees are encouraged to budget Health & Safety (H&S) costs as a separate category and, thereby, exclude such costs from the average cost per unit cost (ACPU) limitation. This separate category also allows these costs to be isolated from energy efficiency costs in program evaluations. Grantees are reminded that, if H&S costs are budgeted and reported under the program operations category rather than the H&S category, the related H&S costs must be included in the calculation of the ACPU and cost-justified through the approved energy audit.

Select which option is used below.

Separate Health and Safety Budget ☒

Contained in Program Operations ☐

3.0 – HEALTH AND SAFETY EXPENDITURE LIMITS

Pursuant to 10 CFR 440.16(h), Grantees must set H&S expenditure limits for their Program, providing justification by explaining the basis for setting these limits and providing related historical experience.

Low percentages should include a statement of what other funding is being used to support H&S costs, while larger percentages will require greater justification and relevant historical support. It is possible that these limits may vary depending upon conditions found in different geographical areas. These limits must be expressed as a percentage of the ACPU. For example, if the ACPU is \$5,000, then an average expenditure of \$750 per dwelling would equal 15 percent expenditures for H&S.

15 percent is not a limit on H&S expenditures but exceeding this amount will require ample justification. These funds are to be expended by the Program in direct weatherization activities. While required as a percentage of the ACPU, if budgeted separately, the H&S costs are not calculated into the per-house limitation. DOE strongly encourages using the table below in developing justification for the requested H&S budget amount. Each H&S measure the Grantee anticipates addressing with H&S funds should be listed along with an associated cost for each measure, and by using historical data the estimated frequency that each measure is installed over the total production for the year.

It is also recommend reviewing recent budget requests, versus expenditures to see if previous budget estimates have been accurate. The resulting "Total Average H&S Cost per Unit" multiplied by the Grantee's production estimate in the Annual File should correlate to the H&S budget amount listed in the Grantee's state plan.

Should a Grantee request to have more than 15 percent of Program Operations used for health and safety purposes, DOE will conduct a secondary level of review. DOE strongly encourages use of this H&S template and matrix to help expedite this process

Enter Measure ↓	Enter Cost ↓	Enter Frequency % ↓	Auto Calculates
CO Alarm	\$50.00	90.0%	\$45.00
Smoke Alarm	\$75.00	44.5%	\$33.40
ASHRAE 62.2-2016	\$600.00	60.0%	\$360.00
Install Direct-Vent Space Heater	\$2,500.00	10.0%	\$250.00
Repair Roof Leak	\$200.00	4.0%	\$8.00
Clean Gas Stove	\$50.00	5.0%	\$2.50
DWH Drip Line	\$60.00	10.0%	\$6.00
Remove UVSH	\$60.00	10.0%	\$6.00
Replace Dryer vent	\$80.00	23.0%	\$18.40
Correct Electrical Issue	\$300.00	5.0%	\$15.00
LSW	\$350.00	8.0%	\$28.00
Repair/Upgrade Venting	\$230.00	5.0%	\$11.50
Hazardous Material Disposal	\$300.00	1.0%	\$3.00
Furnace Replacment	\$3,500.00	3.0%	\$105.00
Furnace Repair/Tune	\$350.00	5.0%	\$17.50
Mold/Moisture	\$300.00	10.0%	\$30.00
Repair Gas Leak	\$60.00	2.0%	\$1.20
Fire Extenguisher	\$50.00	10.0%	\$5.00
Pest Removal	\$300.00	1.0%	\$3.00
Drainage Issues	\$150.00	1.0%	\$1.50
Total Average H&S Cost Per Unit			\$950.00
Enter Estimated Production (Annual File: IV.2 WAP Production Schedule) →			400
Enter Estimated Program Operations Budget →			1871908
H&S Budget (Total Average H&S Cost Per Unit * Estimated Production)			\$379,999.00
Requested H&S Percentage Per Unit (H&S Budget/Program Operations)			20.3%

4.0 – INCIDENTAL REPAIR MEASURES

If Grantees choose to identify any H&S measures as incidental repair measures (IRMs), they must be implemented as such under the Grantee's weatherization program in all cases – meaning, they can never be applied to the H&S budget category. In order to be considered IRMs, the measure must fit the following definition and be cost justified along with the associated efficiency measure;

Incidental Repairs means those repairs necessary for the effective performance or preservation of weatherization materials. Such repairs include, but are not limited to, framing or repairing windows and doors which could not otherwise be caulked or weather-stripped and providing protective materials, such as paint, used to seal materials installed under this program. (10 CFR 440 "Definitions")

Incidental repairs are repairs that are necessary for the effective performance or preservation of weatherization materials.

Incidental repairs must be coupled with a weatherization measure – either an energy-saving measure or a health and safety measure. Therefore, such costs should be billed together with the measure for which the incidental repair is needed.

For example, when correcting knob-and-tube wiring in an attic, itself an incidental repair, the costs involved to correct the knob-and-tube wiring should be billed together with attic insulation, an energy efficient measure. Consequently, the cost of this incidental repair is to be billed to Program Operations – not Health and Safety. Conversely, when incidental repair costs are incurred in the installation of a health and safety measure; e.g., moving a gas line to install a direct vent space heater, then the cost of moving the gas line should be billed together with the installation of the direct vent space heater. Thus, the cost of moving the gas line is to be billed to Health and Safety – not Program Operations.

Roof Repair is a measure that depending on circumstances could be considered an incidental to attic insulation by protecting the attic insulation or a Health and Safety measure because it reduced the chance of mold/moisture issued in the home.

To properly classify this measure across the network the two options will be defined as follows:

In units that receive attic insulation as a weatherization measure any roof repair will be considered a measure incidental to the insulation.

In units that do not receive attic insulation roof repair will be considered a health and safety measure which reduces the chance of mold/moisture.

An incidental repair that has no direct link to a specific weatherization measure is not an allowable expenditure. Priming or painting, for instance, is not allowable if its use does not directly seal and/or protect the weatherization materials.

Costs involved with incidental repairs may not be trivial. Cases in which the cost of an incidental repair exceeds the actual cost of the weatherization measure it is coupled with may make the weatherization measure unallowable by having a SIR of less than 1.0.

Finally, when the costs of essential weatherization measures such as infiltration and insulation are compromised by the costs of their related incidental repairs, then deferring weatherization may be in order.

Alabama's Priority Measures lists' cap incidental costs to \$500.00 for ECMs, if incidental costs are greater than \$500.00 the unit must be evaluated with an energy audit and the cost of the incidental repair must be included in the cost of the measure in which it is associated.

5.0 – DEFERRAL/REFERRAL POLICY

Deferral of services may be necessary if H&S issues cannot be adequately addressed according to WPN 17-06 guidance. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not mean that assistance will never be available, but that work must be postponed until the problems can be resolved and/or alternative sources of help are found. If, in the judgment of the auditor, any conditions exist which may endanger the health and/or safety of the workers or occupants, the unit should be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. Grantees must be specific in their approach and provide the process for clients to be notified in writing of the deferral and what conditions must be met for weatherization to continue. Grantees must also provide a process for the client to appeal the deferral decision to a higher level in the organization.

Grantee has developed a comprehensive written deferral/referral policy that covers both H&S, and other deferral reasons?

Yes ☒ No ☐

Weatherization Deferral Policy

Deferral may be necessary if issues cannot be adequately addressed. The decision to defer work in a dwelling is difficult but necessary in some cases. This does not necessarily mean that assistance will never be provided, but that weatherization work must be postponed until the problematic conditions causing deferral can be resolved with alternative sources of help and/or funding. In the judgment of the assessor, any conditions that exist, which may endanger the health and/or safety of the occupants or workers, should necessitate that weatherization be deferred until the conditions are corrected. Deferral may also be necessary where occupants are uncooperative, abusive, or threatening. Such insolent behavior on the part of the occupants will not be tolerated and may consequently result in weatherization assistance never being provided.

A dwelling unit should not be weatherized where there is a major code violation or where there is a potentially harmful situation that may adversely affect the occupants, subgrantee staff, or weatherization contract workers. Only after the unit owner corrects the problems, shall weatherization work begin. It is not necessarily the responsibility of the subgrantee to correct such problems. The subgrantee's Weatherization Coordinator, assessor, or contract assessor must declare his/her intent to defer weatherization on an eligible unit on the *Home Energy Assessment Checklist* and/or the *Health and Safety Inspection Checklist*. Either checklist should include the client's name and address, dates of the audit/assessment and when the client was informed in writing, and a clear description of the problematic condition(s).

The United States Department of Energy (USDOE), however, requires that additional documentation be maintained in the client file whenever deferral is deemed necessary. The *Weatherization Deferral Form* serves to clearly inform the client of the reason(s) to defer weatherization assistance on his/her home and what actions the client or his/her landlord must undertake to rescind the deferral to permit weatherization assistance to ensue. It is expected in nearly all cases of deferral that the client signs the *Weatherization Deferral Form* to acknowledge that s/he understands the reasoning for the deferral and what actions must be undertaken to rescind the deferral.

Few circumstances may arise where deferral is a result of insolent behavior or illegal activity. Requiring a client to acknowledge such conditions or activity exist in his/her home by signing the *Weatherization Deferral Form* may very likely place the party initiating the deferral in a precarious situation. Under absolutely no circumstances does the State of Alabama expect weatherization personnel to place themselves in such risky situations. In cases where weatherization personnel's safety is compromised, completing the *Weatherization Deferral Form* should be postponed until the weatherization assessor has time to discuss the case with the weatherization coordinator away from the potentially dangerous environment of the client's home. In accordance with USDOE's expectations, though, the client must still be notified for the reason(s) for the deferral. Therefore, the weatherization subgrantee, in these rare but dangerous circumstances, must mail the *Weatherization Deferral Form* to the client certified mail with return receipt via the United State Postal Service. A copy of the *Weatherization Deferral Form* and the return receipt must be maintained in the client file to verify due diligence on the part of the weatherization subgrantee was taken to notify the client of the reason(s) for deferral.

Should a client request a second opinion on a deferral, the subgrantee is encouraged to contact its local county health, building, electrical, or other county inspector to request an inspection of the site. Should the client refuse to have a county inspector inspect the dwelling, the weatherization coordinator will note the refusal in the client file, and no weatherization work shall be performed on the dwelling. If the inspector deems that work pending deferral can or should be performed, the weatherization coordinator, assessor, and weatherization contractor are encouraged to work with the inspector's suggestions to make the improvements. However, the inspector does not make the final determination on the amount, cost of work, or measures applied to the unit. Consequently, the weatherization coordinator may deem the suggested measures to be financially or programmatically out of the scope of Weatherization Assistance Program and may still defer the weatherization work.

A weatherization contractor, too, may encounter a unit to be unfit for weatherization by the time of his/her arrival to perform weatherization work. If this so happens to be the case, the weatherization contractor should not begin work, but instead contact the weatherization coordinator to explain the problematic condition(s). The weatherization coordinator should then follow the same procedures in documenting the deferral as required when a problematic condition necessitating a deferral is discovered during the assessment. The State of Alabama does not require, expect, or encourage weatherization contractors to work in unsafe or unhealthy conditions.

Deferral conditions may include, but are not limited to:

1. The client, or other household member, has known health conditions that prohibit the installation of insulation materials or other weatherization materials.
2. The building structure or its mechanical systems, including electrical and plumbing, are in such a state of disrepair that failure is imminent and the conditions cannot be resolved cost effectively or within the scope of the Weatherization Assistance Program guidance.
3. The house has raw sewage, excessive animal feces, or other sanitation problems that would further endanger the client and weatherization contractors if the weatherization work were performed.
4. The house has been condemned or electrical, heating, plumbing, or other equipment has been “red tagged” by local, county, or state building officials or utilities due to safety or code issues.
5. Moisture problems that are so severe they cannot be resolved under existing health and safety measures or as minor incidental repairs.
6. Dangerous conditions exist due to high carbon monoxide levels associated with combustion appliances which cannot be resolved under existing health and safety measures and guidance.
7. The client is uncooperative, abusive, hostile, or threatening to the assessors, weatherization contractors, inspectors, or others who must work on or visit the home.
8. The extent and condition of lead-based paint in the house would potentially create increased health and safety hazards for both the occupants and crew members.
9. In the judgment of the assessor, if any condition exists which may endanger the health and/or safety of the work crew or subcontractor, then the work should not proceed until the identified condition(s) is satisfactorily corrected.
10. If a mold condition is discovered during the assessment of the home by an assessor and cannot be adequately addressed by the weatherization contractor, the unit will be referred to the appropriate public or non-profit agency for remedial action. Alabama weatherization subgrantees shall defer work on the home until the owner completes mold remediation or another funding source funds and completes the mold remediation. Alabama weatherization subgrantees shall distribute the pamphlet from the U.S. Environmental Protection Agency (EPA), Indoor Environment Division, (IED): “A Brief guide to Mold, Moisture, and Your Home” to all clients whether or not mold is found. The pamphlet can be found at <http://www.epa.gov/mold/pdfs/moldguide.pdf>
11. Client cannot be reached at telephone number on file due to the service being disconnected or due to client unavailability.
12. Client refuses to allow assessors access to all areas of the home necessary to conduct the comprehensive weatherization assessment.
13. Presence of animals which pose a risk to assessors, weatherization contractors, and/or inspectors. The work may be deferred until such animal threats have been secured adequately so that they no longer pose a threat.
14. Unable to gain access to the area to perform work. The work may be deferred until the blocked access is cleared to allow the necessary access to perform the work.
15. The unit is of such filth and squalor or where the presence of excessive hoarding hampers the ability of the assessor or contractor to carry out their weatherization duties.
16. The presence of illicit activity on the premises including but not limited to: illegal drug use; distribution, possession, and/or sale of illegal drugs; prostitution; domestic violence; child abuse; and cruelty to animals. In cases where unlawful activity is witnessed, local authorities are to be notified promptly by the weatherization coordinator. Written documentation explaining the unlawful activity should be maintained in the client file and if possible, without jeopardizing one’s safety, the weatherization personnel may try to obtain photographic documentation of the illicit activity to provide to authorities.

6.0 – HAZARD IDENTIFICATION AND NOTIFICATION FORM(S)

Documentation forms must be developed that include at a minimum: the client's name and address, dates of the audit/assessment and when the client was informed of a potential H&S issue, a clear description of the problem, a statement indicating if, or when weatherization could continue, and the client(s) signature(s) indicating that they understand and have been informed of their rights and options.

Documentation Form(s) have been developed and comply with guidance?

Yes ☒

No ☐

7.0 – HEALTH AND SAFETY CATEGORIES

For each of the following H&S categories identified by DOE:

- *Explain whether you concur with existing guidance from WPN 17-06 and how that guidance will be implemented in your Program, if you are proposing an alternative action/allowability, or if the identified category will not be addressed and will always result in deferral. Alternatives must be comprehensively explained and meet the intent of DOE guidance.*
- *Where an Action/Allowability or Testing is "required" or "not allowed" through WPN 17-06, Grantees must concur, or choose to defer all units where the specific category is encountered.*
- *"Allowable" items under WPN 17-06 leave room for Grantees to determine if the category, or testing, will be addressed and in what circumstances.*
- *Declare whether DOE funds or alternate funding source(s) will be used to address the particular category.*
- *Describe the explicit methods to remedy the specific category.*
- *Describe what testing protocols (if any) will be used.*
- *Define minimum thresholds that determine minor and major repairs*
- *Identify minimum documentation requirements for at-risk occupants*
- *Discuss what explicit steps will be taken to educate the client, if any, on the specific category if this is not explained elsewhere in the Plan. Some categories, like mold and moisture, require client education.*
- *Discuss how training and certification requirements will be provided for the specific category. Some categories, like Lead Based Paint, require training.*
- *Describe how occupant health and safety concerns and conditions will be solicited and documented*

Grantees may include additional H&S categories for their particular Programs. Additional categories must include, at a minimum, all of the same data fields as the DOE-provided categories. Two additional tables have been created to utilize.

7.1 – Air Conditioning and Heating Systems				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Air Conditioning Unallowable Measure <input type="checkbox"/> Heating Unallowable Measure <input type="checkbox"/>				
<p>The replacement of Air Conditioning and/or Heating Systems must always be evaluated as an Energy Conservation Measure (ECM) first. If evaluation indicates the measure to have Savings to Investment Ratio (SIR) ≥ 1.0 it must be completed as an ECM and charged to Program Operations. When a space conditioning system does not qualify as an ECM, the following conditions must be met before the unit can be replaced or repaired with Health and Safety funds:</p> <ul style="list-style-type: none"> Alabama does permit the installation and repair of heating systems and cooling systems (if “at-risk”) as a health and safety measure if it is not cost-prohibitive. Weatherization subgrantees are afforded the discretion to determine whether the measure is cost-prohibitive based on the health and safety funds available in their budgets. When the measure is cost-prohibitive, the weatherization work should be deferred until alternative resources can be obtained to correct the heating and/or cooling system. The client should always be made aware of any dangers caused by the heating system. “Red tagged,” inoperable, or nonexistent primary heating system may be replaced, repaired, or installed where climate conditions warrant, consistent with this guidance. Primary air conditioning system replacement, repair, or installation is allowed only in homes where current occupants are considered “at-risk” AND climate conditions warrant. “System” can mean a central unit or several individually operating units; however, when a central unit is in place, it shall be considered the primary unit, and all other units are to be considered secondary. Use proper sizing protocols (Manual J, State Approved sizing protocols, NEAT/MHEA outputs, etc.) based on post-weatherization housing characteristics, including installed mechanical ventilation, when installing or replacing a heating or cooling appliance. Alabama requires all HVAC system installation to follow local and state code and it must be performed by a licensed HVAC professional. Weatherization subgrantees must require weatherization contractors who are not licensed HVAC companies/individuals subcontract licensed HVAC companies/individuals to perform heating system installations and repairs. <p>Heating Degree Days (HDD) range from 2,913 HDD in North Alabama to 1,339 HDD in South Alabama. Cooling Degree Days (CDD) range from 2,129 CDD in North Alabama to 3,061 CDD in South Alabama.</p>				
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
How do you address unsafe or non-functioning primary heating/cooling systems?				
<p>Unsafe or non-functioning primary heating units must be repaired, replaced and removed, or rendered inoperable, or deferral is required.</p> <p>Non-functioning cooling units may be repaired, or replaced in homes with “at-risk” occupants</p>				
How do you address unsafe or non-functioning secondary heating systems, Including unvented secondary space heaters?				
<p>Replacement or installation of secondary units is not allowed.</p> <p>Unsafe secondary units, including space heaters, must be repaired, removed, or rendered inoperable, or deferral is required.</p> <p>See Hazardous Materials Disposal section for more information</p>				
Indicate Documentation Required for At-Risk Occupants				

An individual who is "At-Risk" as it pertains to this category is any member of the household whose health or well-being would likely be endangered as a result of extreme temperatures.

To document an individual's status as "At-Risk" and therefore eligible to receive this service he/she must supply the Agency with an *At-Risk Physician/Nurse Medical Statement*.

The *At-Risk Physician/Nurse Medical Statement* is a form completed by the client's Physician/Nurse verifying that this individual does have a medical condition which can be affected as a result of extreme temperatures.

Testing Protocols

Make sure primary systems are present, operable, and performing correctly.

When replacing a system an audit must be used to determine if the system can be installed as an energy conservation measure (ECM) prior to replacement as an H&S measure.

If the measure is cost effective by returning an SIR of 1 or greater then it must be replaced and billed as an ECM, if it is not cost effective it should be replaced and billed as a Health and Safety Measure.

Determine and document presence of "at-risk" current occupants when installing air-conditioning as a Health and Safety (H&S) measure.

On combustion equipment, inspect chimney and flue and test for Combustion Appliance Zone (CAZ) depressurization.

For solid fuel appliances look for visual evidence of soot on the walls, mantel or ceiling or creosote staining near the flue pipe

Minimal standards for remedy include, but are not limited to the following:

Ducts:

Ducts testing <1pascal (pa) are considered to be in good condition or within the pressure boundary. Visual inspection of the ducts in site-built houses is required because supplies within the pressure boundary may be leaking into undesirable locations. Return systems should always be sealed as well as possible. Supply leaks nearest the air handler should be addressed in preference to more distant equivalent leaks.

Clean ducts prior to sealing to ensure that sealing materials adhere and remain effective.

When sealing ducts with mastic, use fiberglass wrap for the first 3 feet next to the plenum to reinforce the mastic seal.

Replace crushed registers.

The return ducts must always be sealed. Return ducts should never be open to a combustion zone. (A worst-case depressurization test should be performed.)

When working on manufactured mobile homes, ensure that ducts are attached and sealed properly to ensure heat is going into the home and not onto the ground beneath the home.

Controls:

Check anticipator settings on gas furnace thermostats and adjust to actual amperage draw.

Replace thermostats that do not have an anticipator. This does not apply to millivolt systems.

Install a setback thermostat whenever the client is capable of understanding the technology and is willing to learn how to use it correctly. Install the setback thermostat early in the weatherization process and review its use with the client. Consider making a specific appointment to install the thermostat and instruct the client on its proper use. Follow local and state codes and regulations when installing thermostats.

Share, with the client, evaluation data that shows the savings potential of using setback behavior even if client does not choose to have a setback thermostat installed.

Furnaces (heating systems):

Check for Gas Leaks

Check the heat exchange for cracks. This should be part of the energy audit process.

Draft Testing, Pre and Post Weatherization

Check Ambient and System CO

Verify combustion air source

Check venting system to insure it is functioning properly

Clean the fan, motor, and exterior of the furnace. Oil the motor.

Clean or replace filters. Talk with the client about continuing and ongoing maintenance, taking into account the client's understanding, willingness, and convenience.

High flow filters are recommended when replacing filters.

The supply temperature and heat rise should not exceed the appliance rating.

Limit switches must work properly.

The goal of all testing shall be to make sure heating systems are present, operable, and performing safely. Additionally, we want to determine the presence of occupants who may have been exposed to a hazard or danger relating to the system.

Air Conditioners (cooling systems):

Check wiring for burned or frayed wires at unit and disconnect.

Ensure unit has independent outdoor disconnect within sight or 12ft of unit

Check that filter is present and clean.

Ensure safety switches on heat pump wired properly and in working order.

Client Education

When deferral is necessary, provide information to the client, in writing, describing conditions that must be met in order for weatherization to commence. A copy of this notification must also be placed in the client file.

Discuss appropriate use and maintenance of units.

Provide all paperwork and manuals for any installed equipment.

Discuss and provide information on proper disposal of bulk fuel tanks when not removed as part of the weatherization work.

Where combustion equipment is present, provide safety information including how to recognize depressurization.

Training

WAP H&S policy training on allowable activities.

Licensing and/or certification for HVAC installers as required by authority having jurisdiction (AHJ).

CAZ depressurization test and inspection training.

7.2 - Asbestos - All**What is the blower door testing policy when suspected Asbestos Containing Material (ACM) is identified?**

Blower Door Testing when possible Asbestos Containing Materials (ACM) is a major concern which can affect the Health and Safety of the workers and clients. To reduce the likely hood of exposure the general guidelines listed below must be followed.

Pressurized Blower Door testing will be conducted when solid ACM are present in the attic, walls, or on duct work.

If suspected ACM's are air born no blower door testing will be conducted.

If Suspected ACM's are in siding on the outside of the home depressurized blower door testing may be conducted as usual.

7.2a – Asbestos - in siding, walls, ceilings, etc.		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Take all reasonable and necessary precautions to prevent asbestos contamination in the home.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
How do you address suspected ACM's in siding, walls, or ceilings that will be disturbed through the course of weatherization work?		
<p>General asbestos removal is not approved as a health and safety weatherization cost.</p> <p>The existence of asbestos siding that is in good condition does not prevent installing dense-pack insulation from the exterior.</p> <p>Siding may be removed and reinstalled in order to perform the ECM, and the associated costs may be charged as part of the ECM.</p> <p>All precautions must be taken not to damage the siding. Asbestos siding should never be cut or drilled.</p> <p>Recommended, where possible, to insulate through home interior walls.</p> <p>General abatement of asbestos siding or replacement with new siding is not an allowable H&S cost.</p> <p>Major asbestos problems should be referred to the appropriate state agency and/or EPA.</p>		
Testing Protocols		
<p>Visually inspect exterior wall surface and subsurface, floors, walls, and ceilings for suspected ACM prior to drilling or cutting.</p> <p>Asbestos Hazard Emergency Response Act of 1986 (AHERA) sample collection and testing must be conducted by a certified tester.</p> <p>It is difficult to tell whether a material contains asbestos simply by looking at it, unless it is labeled. If in doubt, treat the material as if it contains asbestos.</p> <p>Inspect exterior wall surfaces and sub-surfaces for asbestos siding prior to drilling or cutting. Typically, asbestos appears as a whitish, fibrous material which may release fibers that range in texture from coarse to silky.</p> <p>Do not permanently or temporarily replace or remove asbestos siding.</p> <p>Keep activities to a minimum in any areas having damaged material that may contain asbestos. Document and inform the client regarding the damaged material and suspected asbestos. Do not further disturb the material. If necessary, weatherization work to that area may have to be deferred.</p> <p>Do not dust, sweep, or vacuum debris that may contain asbestos.</p> <p>Never saw, sand, scrape, or drill holes in asbestos materials. Asbestos siding should never be cut or drilled.</p> <p>Do not track material that could contain asbestos through the house.</p> <p>Follow EPA and OSHA regulations regarding the safe handling of asbestos to ensure worker and client safety.</p>		
Client Education		
<p>Inform the client in writing that suspected ACMs are present and what precautions will be taken to ensure the occupants' and workers' safety during weatherization.</p> <p>Formally notify client in writing of results if testing was performed.</p>		
Training and Certification Requirements		
<p>Safe practices for siding removal and replacement.</p> <p>How to identify suspected ACM.</p> <p>Licensing/certification for removal and reinstallation of asbestos siding if required by AHJ.</p>		

7.2b – Asbestos - in vermiculite		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Take all reasonable and necessary precautions to prevent asbestos contamination in the home.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
How do you address suspected ACM's in vermiculite that will be disturbed through the course of weatherization work?		
<p>When vermiculite is present, assume it contains asbestos unless testing determines otherwise.</p> <p>Do not perform a blower door test if it will disturb the vermiculite.</p> <p>If testing determines asbestos is not present blower door testing may be conducted as usual.</p> <p>Use proper respiratory protection while in areas containing vermiculite.</p> <p>Encapsulation by an appropriately trained asbestos control professional is allowed.</p> <p>Removal is not allowed.</p> <p>When deferral is necessary due to asbestos, occupant must provide documentation that a certified professional performed the remediation before work continues.</p>		
Testing Protocols		
<p>AHERA sample collection and testing must be conducted by a certified tester.</p> <p>Baseline environmental asbestos sampling is an allowable cost.</p> <p>Do not open any walls to check for vermiculite. Only check for vermiculite in the attic, and if found, leave it undisturbed, when possible.</p> <p>If it is necessary to go into the attic containing vermiculite insulation, limit the number of trips and the shorten the length of those trips in order to limit any potential exposure and to avoid disturbing the product as any disturbance could potentially release asbestos fibers into the air.</p> <p>Wear protective equipment when entering an attic area that may contain vermiculite insulation.</p> <p>Do not track vermiculite insulation or associated dust into the living spaces of the home.</p> <p>Follow EPA and OSHA regulations regarding the safe handling of asbestos to ensure worker and client safety.</p>		
Client Education		
<p>Instruct clients in writing not to disturb suspected ACM.</p> <p>Provide asbestos safety information to the client.</p> <p>Formally notify client in writing of results if testing was performed.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>		
Training and Certification Requirements		
<p>Assessors should be able to recognize vermiculite.</p> <p>AHERA or state certification to conduct testing.</p> <p>AHERA or other appropriate asbestos control professional certification/training for encapsulation.</p>		

7.2c – Asbestos - on pipes, furnaces, other small covered surfaces		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Take all reasonable and necessary precautions to prevent asbestos contamination in the home.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
How do you address suspected ACM's (e.g., pipes, furnaces, other small surfaces) that will be disturbed through the course of weatherization work?		
<p>Assume asbestos is present in suspect covering materials.</p> <p>When suspected friable ACM is present, take precautionary measures as if it is asbestos unless testing determines otherwise.</p> <p>Encapsulation by an appropriately trained asbestos control professional is allowed and should be conducted prior to blower door testing if the materials are friable.</p> <p>Grantee may allow removal by an appropriately trained professional on a case-by-case basis.</p> <p>The grantee will make a determination based on the cost associated with removal, if the cost is deemed unreasonable the home may have to be deferred until the issue can be addressed.</p> <p>Charge only those costs directly associated with the testing, encapsulation, or removal to the H&S budget category.</p> <p>When deferral is necessary due to asbestos, occupant must provide documentation that a certified professional performed the remediation before work continues.</p>		
Testing Protocols		
<p>Assess whether suspected ACMs are present.</p> <p>AHERA sample collection and testing is allowed and must be conducted by a certified tester.</p>		
Client Education		
<p>Instruct clients in writing not to disturb suspected ACM.</p> <p>Provide asbestos safety information to the client.</p> <p>Formally notify client in writing of results if testing was performed.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>		
Training and Certification Requirements		
<p>Auditors should be able to recognize suspected ACM.</p> <p>AHERA or other appropriate asbestos control professional certification/training is required to abate the ACM.</p>		

7.5 – Biologicals and Unsanitary Conditions (odors, mustiness, bacteria, viruses, raw sewage, rotting wood, etc.)				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Unallowable Measure <input type="checkbox"/>				
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for dealing with biological and/or unsanitary conditions in homes slated for weatherization?				
<p>Remediation of conditions that may lead to or promote biological concerns and unsanitary conditions is allowed.</p> <p>Addressing bacteria and viruses is not an allowable cost.</p> <p>Deferral may be necessary in cases where conditions in the home pose a health risk to occupants and/or weatherization workers.</p> <p>See Mold and Moisture section for more information.</p>				
Testing Protocols				
Sensory inspection				
Client Education				
<p>Inform client in writing of observed conditions.</p> <p>Provide information on how to maintain a sanitary home.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>				
Training				
<p>How to recognize unsafe conditions and when to defer.</p> <p>Safe work practices when encountering such conditions.</p>				

7.6 – Building Structure and Roofing		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Weatherization is not a Rehabilitation Program, if the unit to be weatherized has structural issues beyond the scope of weatherization it must be deferred until the issue is addressed by either other funding or the homeowner.		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
What guidance do you provide Subgrantees for dealing with structural issues (e.g., roofing, wall, foundation) in homes slated for weatherization?		
<p>Site conditions that poses a safety hazard to agency staff or subcontractors which cannot be corrected within the scope of the program may result in a deferral.</p> <p>Building structure & roofing should be evaluated visually so that no existing conditions are disturbed. Structural problems with dwellings often lead to deferral because the scope is beyond the means of the program to treat. Beyond simple incidental repairs, such as roof patching, there is no feasible means to address severe structural defects.</p> <p>Roof repairs are allowable as a H&S measure if:</p> <p>It resolves and bulk water intrusion issue that is the cause of visible biological growth and;</p> <p>The H&S roof repair is well documented with written explanation and photos of the biological growth in the client file.</p>		
How do you define “minor” or allowable structure and roofing repairs, and at what point are repairs considered beyond the scope of weatherization?		
<p>When using the Priority Measures Lists incidental repairs are capped at \$500.00; if incidental repairs exceed \$500.00 then the use of a NEAT/MHEA is required. When using the audit, the incidental repair cost is attributed to the cost of the measure and becomes part of the SIR.</p> <p>If the cost of the repair causes the measures SIR to drop below 1.0 then the measure cannot be completed and the unit may need to be deferred.</p>		
If priority lists are used, and these repairs are designated as Incidental Repairs, at what point is a site-specific audit required?		
According to the Priority Measures List, Incidental Repairs greater than \$500.00 require a site-specific audit		
Client Education		
<p>Notify client in writing of structurally compromised areas.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>		
Training		
Assessors are able to identify structural and roofing issues.		

7.7 – Code Compliance		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
What guidance do you provide Subgrantees for dealing with code compliance issues in homes receiving weatherization measures?		
<p>Correction of preexisting code compliance issues is not an allowable cost unless triggered by weatherization measures being installed in a specific room or area of the home.</p> <p>When correction of preexisting code compliance issues is triggered and paid for with WAP funds, cite specific code requirements with reference to the weatherization measure(s) that triggered the code compliance issue in the client file.</p> <p>Follow State and local or AHJ codes while installing weatherization measures, including H&S measures.</p> <p>Condemned properties and properties where “red tagged” H&S conditions exist that cannot be corrected under this guidance must be deferred.</p>		
What specific situations commonly trigger code compliance work requirements for your network? How are they addressed?		
<p>Some AHJ require all code issues be addressed regardless of whether or not the issue is related to weatherization; for example, one AHJ requires all smoke detectors be hard wired, and while we have a variance which does not require that for our program this AHJ still requires this be done. Also, when repairing combustion appliance venting this AHJ requires that the entire vent be replaced not just one section or area repaired. While sometimes there are additional funds that can address these issues that is not always the case. When additional funds are not available homes may be deferred until other funds are available.</p>		
Client Education		
<p>Inform client in writing of observed code compliance issues when it results in a deferral.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>		
Training		
<p>Assessors should determine what code compliance may be required.</p> <p>Sub-grantees must be aware of code compliance.</p> <p>Sub-grantees must ensure that weatherization-related work complies with all applicable codes.</p>		
7.8 – Combustion Gases		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
<p>Proper venting to the outside for combustion appliances, including gas dryers and refrigerators, furnaces, vented space heaters and water heaters is required.</p> <p>Correct venting when testing indicates a problem.</p> <p>If unsafe conditions whose remediation is necessary to perform weatherization cannot be remedied by repair or tuning, replacement is an allowable H&S measure unless prevented by other guidance herein.</p> <p>Maintain documentation justifying the replacement with a cost comparison between replacement and repair in the client file.</p> <p>Replacement units must meet safety guidelines as determined in the Grantee Plan or technical Field Guide.</p> <p>See Air-Conditioning and Heating Systems section and Attachment A for more information.</p>		

Funding																																
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>																												
DOE funds may be used to address this category																																
Testing Protocols																																
<p>Combustion safety testing is required when combustion appliances are present.</p> <p>Test naturally drafting appliances for spillage and CO during CAZ depressurization testing pre- and post-weatherization and before leaving the home on any day when work has been done that could affect draft (e.g., tightening the home, adding exhaust).</p> <p>Inspect venting of combustion appliances and confirm adequate clearances.</p> <p>Check DOE-approved audit to determine if the appliance can be justified as an ECM prior to replacement as an H&S measure.</p>																																
How are crews instructed to handle problems discovered during testing, and what are the specific protocols for addressing hazards that require an immediate response?																																
<p style="text-align: center;">Combustion Safety Test Action Levels</p> <table border="1"> <thead> <tr> <th>CO Test Result*</th> <th>And/ OR</th> <th>Spillage and Draft Test Results</th> <th>Retrofit Action</th> </tr> </thead> <tbody> <tr> <td>0-25 ppm</td> <td>And</td> <td>Passes</td> <td>Proceed with work</td> </tr> <tr> <td>26-100 ppm</td> <td>And</td> <td>Passes</td> <td>Recommend that the CO problem be fixed</td> </tr> <tr> <td>26-100 ppm</td> <td>And</td> <td>Fails a worst case only</td> <td>Recommend a service call for the appliance and/or repairs to the home to correct the problem</td> </tr> <tr> <td>100-400 ppm</td> <td>Or</td> <td>Fails under natural conditions</td> <td>STOP WORK: Work may not proceed until the system is serviced and the problem is corrected</td> </tr> <tr> <td>>400 ppm</td> <td>And</td> <td>Passes</td> <td>STOP WORK: Work may not proceed until the system is serviced and the problem is corrected</td> </tr> <tr> <td>>400 ppm</td> <td>And</td> <td>Fails under any condition</td> <td>EMERGENCY: Shut off fuel to the appliance and call for service immediately</td> </tr> </tbody> </table>					CO Test Result*	And/ OR	Spillage and Draft Test Results	Retrofit Action	0-25 ppm	And	Passes	Proceed with work	26-100 ppm	And	Passes	Recommend that the CO problem be fixed	26-100 ppm	And	Fails a worst case only	Recommend a service call for the appliance and/or repairs to the home to correct the problem	100-400 ppm	Or	Fails under natural conditions	STOP WORK: Work may not proceed until the system is serviced and the problem is corrected	>400 ppm	And	Passes	STOP WORK: Work may not proceed until the system is serviced and the problem is corrected	>400 ppm	And	Fails under any condition	EMERGENCY: Shut off fuel to the appliance and call for service immediately
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26-100 ppm	And	Passes	Recommend that the CO problem be fixed																													
26-100 ppm	And	Fails a worst case only	Recommend a service call for the appliance and/or repairs to the home to correct the problem																													
100-400 ppm	Or	Fails under natural conditions	STOP WORK: Work may not proceed until the system is serviced and the problem is corrected																													
>400 ppm	And	Passes	STOP WORK: Work may not proceed until the system is serviced and the problem is corrected																													
>400 ppm	And	Fails under any condition	EMERGENCY: Shut off fuel to the appliance and call for service immediately																													
Client Education																																
Provide client with combustion safety and hazards information.																																
Training																																
<p>How to perform appropriate testing, determine when a building is excessively depressurized, and the difference between air free and as-measured CO.</p> <p>CO action levels.</p>																																

7.9 – Electrical				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for dealing with electrical hazards, including knob & tube wiring, in homes slated for weatherization?				
<p>Wires are inspected to ensure they are in good condition and not bare or frayed.</p> <p>Service boxes and junction boxes are inspected to ensure they have secure covers.</p> <p>Live knob and tube in the attic will not be covered or surrounded.</p> <p>A dam that does not cover the top will be created to separate insulation from the wire path.</p> <p>If the wiring is above the joists, an un-faced fiberglass batt must be installed below the wiring.</p> <p>The balance of the attic may be blown to required insulation depth without covering any knob & tube. If the knob and tube wiring goes through the joists, do not insulate below the wiring, just create the dam. The additional cost of damming K&T wiring will be considered an incidental repair and billed along with the ECM (i.e. insulation).</p> <p>If the additional cost causes the ECM (i.e. insulation) to no longer be cost effective the home should be deferred until additional funding can be secured to address the K&T wiring issue.</p> <p>Sidewalls with active knob and tube wiring will not be insulated.</p>				
How do you define “minor” or allowable electrical repairs, and at what point are repairs considered beyond the scope of weatherization?				
<p>When using the Priority Measures Lists incidental repairs are capped at \$500.00; if incidental repairs exceed \$500.00 then the use of a NEAT/MHEA is required. When using the audit, the incidental repair cost is attributed to the cost of the measure and becomes part of the SIR.</p> <p>If the cost of the repair causes the measures SIR to drop below 1.0 then the measure cannot be completed and the unit may need to be deferred.</p>				
If priority lists are used, and these repairs are designated as Incidental Repairs, at what point is a site-specific audit required?				
According to the Priority Measures List, Incidental Repairs greater than \$500.00 require a site-specific audit				
Client Education				
When electrical issues are the cause of a deferral, provide information to client on over-current protection, overloading circuits, and basic electrical safety/risks.				
Training				
<p>Auditors must be able to identify electrical hazards.</p> <p>Auditors should be aware of local (or AHJ) code compliance.</p>				

7.10 – Formaldehyde, Volatile Organic Compounds (VOCs), Flammable Liquids, and other Air Pollutants

Concurrence, Alternative, or Deferral

Concurrence with Guidance ☒ Alternative Guidance ☐ Results in Deferral ☐

Funding

DOE ☒ LIHEAP ☐ State ☐ Utility ☐ Other ☐

DOE funds may be used to address this category

What guidance do you provide Subgrantees for dealing with formaldehyde, VOCs, flammable liquids, and other air pollutants identified in homes slated for weatherization?

Removal of pollutants is allowed and is required if they pose a risk to workers.

If pollutants pose a risk to workers and removal cannot be performed or is not allowed by the client, the unit must be deferred.

Refer to *Hazardous Materials Disposal* section for more information.

Testing Protocols

Sensory inspection.

Client Education

Inform client in writing of observed hazardous condition and associated risks.

Provide client written materials on safety issues and proper disposal of household pollutants.

When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.

Training

Auditors should be able to recognize potential hazards and when removal is necessary.

7.11 – Fuel Leaks

Concurrence, Alternative, or Deferral

Concurrence with Guidance ☒ Alternative Guidance ☐ Results in Deferral ☐

Funding

DOE ☒ LIHEAP ☐ State ☐ Utility ☐ Other ☐

DOE funds may be used to address this category

Remediation Protocols

When a minor gas leak is found on the utility side of service, the utility service must be contacted before work may proceed.

Fuel leaks that are the responsibility of the client (vs. the utility) must be repaired before weatherizing a unit.

Notify utilities and temporarily halt work when leaks are discovered that are the responsibility of the utility to address.

Test exposed gas lines for fuel leaks from utility coupling into, and throughout, the home.

Conduct sensory inspection on bulk fuels to determine if leaks exist.

How do you define allowable fuel leak repairs, and at what point are repairs considered beyond the scope of weatherization?

Fuel leak repairs are allowable when the leak is not severe enough to pose a hazard to the worker or occupant. A leak would be considered beyond the scope of weatherization if it is severe enough to pose a hazard to the worker or occupant.

Client Education

Inform clients in writing if fuel leaks are detected.

Training

Auditors are trained to conduct fuel leak testing.

7.12 – Gas Ovens / Stovetops / Ranges				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>		Results in Deferral <input type="checkbox"/>	
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for addressing unsafe gas ovens/stoves/ranges in homes slated for weatherization?				
When testing indicates a problem, entities may perform standard maintenance on or repair gas cooktops and ovens. Replacement is not allowed.				
Testing Protocols				
Test gas ovens for CO. Inspect cooking burners and ovens for operability and flame quality.				
Client Education				
Inform clients of the importance of using exhaust ventilation when cooking and the importance of keeping burners clean to limit the production of CO.				
Training				
Auditors are trained on proper testing techniques. Auditors are aware of CO action levels listed in Section 7.8 above				

7.13 – Hazardous Materials Disposal [Lead, Refrigerant, Asbestos, Mercury (including CFLs/fluorescents), etc.]				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>		Results in Deferral <input type="checkbox"/>	
Hazardous Waste Materials generated in the course of weatherization work shall be disposed of according to all local laws, regulations and/or Federal guidelines, as applicable. Document proper disposal requirements in contract language with responsible party. Refer to <i>Lead</i> and <i>Asbestos</i> sections for more information on those topics.				
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
Client Education				
Inform client in writing of hazards associated with hazardous waste materials being generated/handled in the home.				
Training				
Appropriate Personal Protective Equipment (PPE) for working with hazardous waste materials. Disposal requirements and locations. Health and environmental risks related to hazardous materials.				
Disposal Procedures and Documentation Requirements				
Hazardous Waste Materials generated during weatherization work shall be disposed of according to all local laws, regulations and/or Federal guidelines, as applicable. Documentation of proper disposal should be included in client file				

7.14 – Injury Prevention of Occupants and Weatherization Workers (Measures such as repairing stairs and replacing handrails)

Concurrence, Alternative, or Deferral

Concurrence with Guidance ☒ Alternative Guidance ☐ Results in Deferral ☐

Funding

DOE ☒ LIHEAP ☐ State ☐ Utility ☐ Other ☐

DOE funds may be used to address this category

What guidance do you provide Subgrantees regarding allowable injury-related repairs (e.g., stairs, handrails, porch deck board)?

Workers must take all reasonable precautions against work on homes that will subject workers or occupant(s) to health and safety risks. Minor repairs and installation may be conducted only when necessary to effectively weatherize the home; otherwise these types of measures are not allowed. The auditors and workers on a job are to observe if dangers are present that may prevent completion of the weatherization work. Clients must be informed by auditors and/or workers of observed hazards and associated risks.

How do you define “minor” or allowable injury prevention measures, and at what point are repairs considered beyond the scope of weatherization? Quantify “minor” or allowable injury prevention measures.

Minor allowable injury prevention measures are measures that are small in scope but provide additional protection for workers and occupants from potential hazards.

Injury prevention measures that cost over \$500.00 are not considered minor and are not allowable.

Examples of minor allowable injury prevention may include but are not limited to repair/replacing a stair tread, repair/replacing a hand rail, securing attic ladder, etc.

This does not allow for installing wheelchair ramps or items that do not relate directly to weatherization work.

Training

Auditors are trained in hazard identification.

7.15 – Lead Based Paint

Concurrence, Alternative, or Deferral

Concurrence with Guidance ☒ Alternative Guidance ☐ Results in Deferral ☐

Funding

DOE ☒ LIHEAP ☐ State ☐ Utility ☐ Other ☐

DOE funds may be used to address this category

Safe Work Protocols

Crews must follow EPA's Lead; Renovation, Repair and Painting Program (RRP) when working in pre-1978 housing unless testing confirms the work area to be lead free.

Deferral is required when the extent and condition of lead-based paint in the house would potentially create further H&S hazards.

Only those costs directly associated with the testing and lead safe practices for surfaces directly disturbed during weatherization activities are allowable.

Minor Repair or Maintenance Activities: Activities that will disturb less than the following square feet of paint surfaces in 30 calendar days (counting all paint surface areas of a removed component):

- i. 6 square feet per room for interior activities; or
- ii. 20 square feet for exterior activities.

But this exemption does **NOT** apply to the following:

- i. Window replacement.
- ii. Demolition of painted surface areas.

iii. Using any of the following:

- Open-flame burning or torching;
- Machines to remove paint through high-speed operation without HEPA exhaust control; or
- Operating a heat gun at temperatures at or above 1100 degrees Fahrenheit

Mobile Homes. Often, interiors of mobile homes were not painted but rather, paneling was applied to the surfaces. Therefore, pre-1978 mobile homes that were not painted by the manufacturer, occupant, landlord, or past owner of the unit before 1978, may be exempt from LSW. However, Weatherization Programs must verify the areas receiving weatherization services have never been painted or were painted for the first time after 1978. If this is not verifiable, then LSW protocols must be followed. Painted exterior surfaces on pre-1978 units should not be drilled, scraped, sanded, or receive any other work that disturbs the paint.

Testing Protocols

Testing to determine the presence of lead in paint that will be disturbed by WAP measure installation is allowed with EPA-approved testing methods.

LSW must be applied to all pre-1978 housing unless there is existing evidence that the home has been certified as being lead-free or below the lead threshold limit (e.g., for paint containing lead below the regulated level, 1.0 mg/cm² or 0.5% by weight). One of the following methods must be used to determine the paint to be disturbed is not lead-based paint:

- Written determination by certified lead inspector or risk assessor; or
- Proper use of EPA-recognized test kit provided agencies (*documenting manufacturer and model of test kit used, description and location of components tested, and test kit results*)
- A State-approved lead-based paint test protocol

Testing methods must be economically feasible and justified.

Job site set up and cleaning verification by a Certified Renovator is required.

Grantees must verify that crews are using lead safe work practices during monitoring.

Client Education

Follow pre-renovation education provisions for RRP.

Weatherization subgrantees must provide a copy of the pamphlet, “**The Lead-Safe Certified Guide to Renovate Right**”, to owners and occupants of a dwelling built before 1978 to inform the household of the potential risk of the lead hazard exposure. Also, subgrantees are required to have the client sign a form confirming receipt of the lead pamphlet and store that form in the client’s file.

If the Weatherization service provider cannot get a client signed acknowledgement, then the form will be signed by agency personnel signifying delivery of that pamphlet.

When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.

Training and Certification Requirements

All employees and contractors working on pre-1978 homes must receive training to install measures in a lead-safe manner in accordance with the SWS and EPA protocols, and installation must be overseen by an EPA Certified Renovator.

In 2010, the Alabama Lead Contractor Certification Program received approval from the Alabama State Committee on Public Health to seek EPA authorization to administer and enforce the lead-based paint RRP rules for the State of Alabama in lieu of the EPA. The Renovation Contractor Certification, Chapter 420-3-29, establish requirements for certifying renovators, dust sampling technicians, and renovation firms. Further, these rules establish requirements for renovation project notifications, pre-renovation education requirements, renovation work practices, and for record keeping. Individuals seeking to become Certified Renovators and/or Dust Sampling Technicians in Alabama must apply through Alabama’s Safe State Environmental Program for accreditation.

Grantee Monitors and Inspectors will receive the certified Renovator Certification

Documentation Requirements
Documentation in the client file must include Certified Renovator certification; any training provided on-site; description of specific actions taken; lead testing and assessment documentation; and, photos of site and containment set up. Include the location of photos referenced if not in file. Each client file also must contain Lead Safe Weatherization Exemption Worksheet which identifies units which will need to conduct Lead-Safe Work Practices.

7.16 – Mold and Moisture				
(Including but not limited to: drainage, gutters, down spouts, extensions, flashing, sump pumps, dehumidifiers, landscape, vapor retarders, moisture barriers, etc.)				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for dealing with moisture related issues (e.g., drainage, gutters, down spouts, moisture barriers, dehumidifiers, vapor barrier on bare earth floors) in homes slated for weatherization?				
<p>Limited water damage repairs that can be addressed by weatherization workers are allowed when necessary in order to weatherize the home and to ensure the long-term stability and durability of the measures.</p> <p>Source control (i.e. correction of moisture and mold creating conditions) is allowed when necessary in order to weatherize the home and to ensure the long-term stability and durability of the measures. Source control is independent of latent damage and related repairs.</p> <p>Where severe Mold and Moisture issues cannot be addressed, deferral is required.</p> <p>Extensive mold removal/cleanup is not an allowable H&S cost.</p> <p>Surface preparation where weatherization measures are being installed (e.g., cleaning mold off window trim in order to apply caulk) must be charged as part of the ECM, not to the H&S budget category.</p> <p>Visual assessment including exterior drainage. Mold testing is not an allowable cost.</p> <p>Diagnostics such as moisture meters are recommended pre-weatherization and at the final inspection.</p>				
How do you define “minor” or allowable moisture-related measures, and at what point is work considered beyond the scope of weatherization?				
<p>Minor allowable moisture related measures may include the repair of small plumbing leaks and or structural leaks which are contributing to mold/moisture issues.</p> <p>While generally mold removal/clean-up is not allowed areas smaller than 2 sq. ft. inside the unit and areas up to 10 sq. ft. outside may be addressed</p> <p>Issues beyond these parameters may result in the deferral of the unit until the issues can be addressed by either the homeowner or other funds.</p>				
Client Education				
<p>Provide client written notification and disclaimer on mold and moisture awareness.</p> <p>Provide information on importance of cleaning and maintaining drainage systems.</p> <p>Provide information on proper landscape design and how this impacts site drainage and moisture control.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>				
Training				
<p>Assessors should be able to identify potential or existing mold and/or moisture issues.</p> <p>How to recognize drainage issues.</p>				

7.17 – Pests				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees for dealing with pests and pest intrusion prevention in homes slated for weatherization?				
<p>Pest removal is allowed only where infestation would prevent weatherization.</p> <p>Infestation of pests may be cause for deferral where it cannot be reasonably removed or poses H&S concern for workers.</p> <p>Screening of windows and points of access, and incorporating pest exclusion into air sealing practices to prevent intrusion is allowed.</p>				
Define Pest Infestation Thresholds, Beyond Which Weatherization Is Deferred				
<p>The threshold for pest infestation is set at \$500.00.</p> <p>If the pest infestation cannot be addressed at or below this threshold it is considered beyond the scope of weatherization and the home must be deferred.</p>				
Testing Protocols				
Auditors assess the degree of infestation and risk to worker.				
Client Education				
<p>Inform client in writing of observed condition and associated risks.</p> <p>When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.</p>				
Training				
Auditors are trained to assess the presence and degree of infestation, associated risks, and deferral policy.				

7.18 – Radon				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide Subgrantees around radon?				
<p>Radon mitigation is not an allowable H&S cost.</p> <p>In homes where radon may be present, work scope should include precautionary measures based on EPA Healthy Indoor Environment Protocols for Home Energy Upgrades, to reduce the possibility of making radon issues worse.</p> <p>Whenever site conditions permit, cover exposed dirt floors within the pressure/thermal boundary with 6 mil (or greater) polyethylene sheeting, lapped at least 12" and sealed with appropriate sealant at all seams, walls and penetrations.</p> <p>Other precautions may include, but are not limited to, sealing any observed floor and/or foundation penetrations, including open sump pits, isolating the basement from the conditioned space, and ensuring crawl space venting is installed.</p>				

Testing Protocols
The weatherization program in Alabama will not test for Radon.
Client Education
Provide all clients EPA's <i>A Citizen's Guide to Radon</i> and inform them of radon related risks. Informed consent form must include: Information from the results of the IAQ Study that there is a small risk of increasing radon levels when building tightness is improved; A list of precautionary measures WAP will install based on EPA Healthy Indoor Environment Protocols; Some of the benefits of Weatherization including energy savings, energy cost savings, improved home comfort, and increased safety; and confirmation that EPA's <i>A Citizen's Guide to Radon</i> was received and radon related risks discussed with the client.
Training and Certification Requirements
Auditors, assessors and inspectors must have knowledge of radon, what it is and how it occurs, including what factors may make radon worse, and precautionary measures that may be helpful. Workers must be trained in proper vapor retarder installation. A zonal map can be located at http://www.epa.gov/radon/pdfs/zonemapcolor.pdf
Documentation Requirements
Clients must sign a Radon Informed Consent Form prior to receiving weatherization services. This form must be kept in the client file.

7.19 – Safety Devices: Smoke and Carbon Monoxide Alarms, Fire Extinguishers
Concurrence, Alternative, or Deferral
Concurrence with Guidance <input checked="" type="checkbox"/> Alternative Guidance <input type="checkbox"/> Results in Deferral <input type="checkbox"/>
Funding
DOE <input checked="" type="checkbox"/> LIHEAP <input type="checkbox"/> State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category
What is your policy for installation or replacement of the following:
Smoke Alarms: Should be installed on each floor outside sleeping areas if operable alarms are not present. Should be installed according to the manufacturer's instructions.
Carbon Monoxide Alarms: Must be installed in every home if operable alarm is not present. Should be installed according to manufacturer's instructions.
Fire Extinguishers: May be installed when solid fuel is present. Should be installed according to manufacturer's instructions.
Testing Protocols
Check existing alarms for operation. Verify operation of installed alarms.
Client Education
Provide client with verbal and written information on use of devices installed.
Training
Auditors are trained on where to install alarms. Auditors should be aware of local (or AHJ) code compliance.

7.20 – Occupant Health and Safety Concerns and Conditions

Concurrence, Alternative, or Deferral

Concurrence with Guidance ☒ Alternative Guidance ☐ Results in Deferral ☐

Funding

DOE ☒ LIHEAP ☐ State ☐ Utility ☐ Other ☐

DOE funds may be used to address this category

What guidance do you provide Subgrantees for soliciting the occupants' health and safety concerns related to components of their homes?

All clients are required to sign a Health and Allergy Concerns Form which provides them with information about materials used in weatherization and instructs them to make arrangements so that they are not present during work which may aggravate health issues they may have.

What guidance do you provide Subgrantees for determining whether occupants suffer from health conditions that may be negatively affected by the act of weatherizing their home?

An important aspect of any inspection is client education. Once a clear understanding has been reached between the auditor and the client(s), work that will not aggravate any client pre-existing health condition shall begin. In some rare instances, a deferral may be required.

What guidance do you provide Subgrantees for dealing with potential health concerns when they are identified?

When a person's health may be at risk and/or the work activities could create a H&S hazard, the at-risk occupant will be required to take appropriate action based on the severity of the risk. Temporary relocation of at-risk occupants may be necessary. Failure or inability to take appropriate actions will result in a deferral.

Client Education

Inform client in writing of any known risks.

Provide client with Subgrantee point of contact information in writing so client can inform of any issues.

When deferral is necessary, provide information in writing describing conditions that must be met in order for weatherization to commence.

Documentation Form(s) have been developed and comply with guidance? Yes ☒ No ☐

7.21 – Ventilation and Indoor Air Quality

Concurrence, Alternative, or Deferral

Concurrence with Guidance ☒ Alternative Guidance ☐ Results in Deferral ☐

Funding

DOE ☒ LIHEAP ☐ State ☐ Utility ☐ Other ☐

DOE funds may be used to address this category

Identify the Most Recent Version of ASHRAE 62.2 Implemented (optional: identify Addenda used)

The Alabama Weatherization Assistance Program uses ASHRAE 62.2-2016

Testing and Final Verification Protocols

ASHRAE 62.2 evaluation to determine required ventilation.

Measure fan flow of existing fans and of installed equipment to verify performance.

Testing to determine ventilation requirements prior to weatherization.

Follow up testing to ensure ventilation requirements were met.

Subgrantees are instructed to use the Residential Energy Dynamics (RED) ASHRAE 62.2-2016 calculator located at www.residentialenergydynamics.com

The use of balanced ventilation systems is encouraged.

Client Education
Provide client with information on function, use, and maintenance (including location of service switch and cleaning instructions) of ventilation system and components. Provide client with equipment manuals for installed equipment. Include disclaimer that ASHRAE 62.2 does not account for high polluting sources or guarantee indoor air quality.
Training
ASHRAE 62.2 training, including proper sizing, evaluation of existing and new systems. Subgrantees are instructed to use the Residential Energy Dynamics (RED) ASHRAE 62.2-2016 calculator located at www.residentialenergydynamics.com

7.22 – Window and Door Repair and Replacement, Window Guards				
Concurrence, Alternative, or Deferral				
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>		
Funding				
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/>	Utility <input type="checkbox"/>	Other <input type="checkbox"/>
DOE funds may be used to address this category				
What guidance do you provide to Subgrantees regarding window and door repair and replacement and window guards?				
Repair using H&S funds is allowed if: It resolves a bulk water intrusion issue that is the cause of visible biological growth and; Is well documented with written explanation and photos of the biological growth in the client file. Replacement of doors and windows is not allowed with H&S funds. Window and door replacements shall not be included in the air sealing ECM				
How do you define “minor” or allowable window and door repairs, and at what point are repairs considered beyond the scope of weatherization?				
When using the Priority Measures Lists incidental repairs are capped at \$500.00; if incidental repairs exceed \$500.00 then the use of a NEAT/MHEA is required. When using the audit, the incidental repair cost is attributed to the cost of the measure and becomes part of the SIR. If the cost of the repair causes the measures SIR to drop below 1.0 then the measure cannot be completed, and the unit may need to be deferred.				
Testing Protocols				
N/A				
Client Education				
Provide written information on lead risks and mold wherever issues are identified.				
Training				
Awareness of guidance.				

7.23 – Worker Safety (OSHA, etc.)		
Concurrence, Alternative, or Deferral		
Concurrence with Guidance <input checked="" type="checkbox"/>	Alternative Guidance <input type="checkbox"/>	Results in Deferral <input type="checkbox"/>
Workers must follow OSHA standards where required and take precautions to ensure the H&S of themselves and other workers.		
All Subgrantees and contractors must maintain compliance with the current OSHA Hazard Communication Standard, including on-site organized Safety Data Sheets (SDS) (formerly called MSDS).		
Funding		
DOE <input checked="" type="checkbox"/>	LIHEAP <input type="checkbox"/>	State <input type="checkbox"/> Utility <input type="checkbox"/> Other <input type="checkbox"/>
DOE funds may be used to address this category		
How do you verify safe work practices? What is your policy for in-progress monitoring?		
Grantees must verify that Subgrantees, crews and contractors follow safe work practices.		
Training and Certification Requirements		
Use and importance of PPE.		
Safety training appropriate for job requirements.		
OSHA 10-hour training meets this requirement and is an allowable use of T&TA funds for Subgrantee Staff and Contractors working in the program		
Ongoing training as required in Hazard Communication Program.		